



# ***Tribal Drug Court Grant Program Fiscal Year 2000***

## ***Program Guidelines and Application Kit***

**APPLICATION DEADLINE:**  
*March 10, 2000*

### **Applicant Workshops**

***January 14, 2000  
Washington, DC***

***January 21, 2000  
Albuquerque, NM***

***January 24, 2000  
San Francisco, CA***

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**Drug Courts Program Office  
World Wide Web Home Page:**  
<http://www.ojp.usdoj.gov/dcpo.htm>

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For grant and funding information, contact:  
**Department of Justice Response Center**  
1-800-421-6770

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# **Drug Court Grant Program Fiscal Year 2000**



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# **Tribal Program Guidelines and Application Kit**

**SL000393**

*For copies of this publication, please contact:*

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# **The Drug Courts Program Office Office of Justice Programs**

**ANNOUNCES THE FOLLOWING:**

## **Applicant Training Workshops**

To provide jurisdictions with the requirements for a grant application. See  
Form 1 for further information and to register.

**January 14, Washington, DC**

**January 21, Albuquerque, NM**

**January 24, San Francisco, CA**

**NOTE: Federal grant funds cannot be used to attend these workshops.**



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# Application Checklist

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***Does Your Application Include (in the following order):***

\_\_\_\_\_ Application for Federal Assistance (SF 424), signed by the authorizing official? (See Form 2)

\_\_\_\_\_ Assurances form? (See Form 3)

\_\_\_\_\_ Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements form? (See Form 4)

\_\_\_\_\_ Applicant Information Page? (See page 34)

\_\_\_\_\_ Applicant Certifications, submitted in a letter signed by the authorizing official? (See page 36)

\_\_\_\_\_ One-page Project Abstract that summarizes the goals and objectives of the grant request?

\_\_\_\_\_ A narrative that responds to the Program Design Narrative appropriate for the type of grant for which you are applying?

Attachments:

☐ Time and Task Plan

☐ Policies and Procedures Manual (if applicable)

☐ Letters of Support (if applicable)

\_\_\_\_\_ Budget Detail Worksheet?

\_\_\_\_\_ Budget Narrative that clearly describes the items contained in the Budget Detail Worksheet?

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To expedite and streamline the receipt, review, and processing of your request for funding in Fiscal Year 2000, all grant applications to the Office of Justice Programs (OJP), Drug Courts Program Office (DCPO) **must be submitted electronically over the Internet.** To assist you in submitting your application on-line, OJP has established the user friendly **Grants Management System (GMS).** GMS will allow you to view the FY 2000 Drug Court Grant Program Application Kit and Guideline on-line and instruct you in submitting your application over the Internet. The Internet address for GMS is [www.ojp.usdoj.gov/guidelinesinfo.htm](http://www.ojp.usdoj.gov/guidelinesinfo.htm).

**If you do not have an Internet account established, GMS project staff will assist you in creating an Internet account. Please call the GMS Hotline at (888)549-9901 for assistance.**

To request a printed copy of the *FY 2000 Drug Court Grant Program Application Kit and Guideline*, please call 1-800-851-3420.

## **Instructions for Submitting Applications Online— Grants Management System**

Using an established Internet account, or after creating an account with GMS staff assistance:

**Step 1.** Visit the GMS web page at [www.ojp.usdoj.gov/guidelinesinfo.htm](http://www.ojp.usdoj.gov/guidelinesinfo.htm).

**Step 2.** Select the FY 2000 Drug Court Grant Program Application Kit and Guideline.

**Step 3.** Follow the on screen instructions. Call (888) 549-9901 for assistance.

**Step 4.** Submit your application on-line, by **March 10, 2000.**

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# Introduction

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## The Drug Court Movement

The emergence of crack cocaine in the mid-1980s had an unprecedented and dramatic impact on the nation's criminal justice system. In an effort to stem street drug dealing and crime and violence associated with illegal drug and alcohol use, the arrest and prosecution of drug and alcohol offenders was sharply escalated. At the same time, penalties for the possession and sale of drugs and alcohol were toughened, so greater numbers of substance abusers were charged with felonies that carried sentences of incarceration. As a result of the Nation's "War on Drugs," greater numbers of drug and alcohol offenders were arrested, prosecuted, and convicted; however, drug and alcohol offenders received few, if any, treatment services. The result was a revolving-door syndrome, in which drug and alcohol offenders cycled in and out of the justice system.

The influx of drug and alcohol offenders to the system severely strained the courts, forcing some to the brink of collapse. In an effort to address growing caseloads, courts employed delay-reduction strategies, including establishing specialized court dockets to expedite substance abuse case processing. These approaches, however, did little to stem the tide of substance abusers into the system, to habilitate substance abuse offenders already in the system, or to reduce recidivism of released offenders.

In 1989, troubled by the devastating impact of drugs, alcohol, and related crime on their criminal justice systems, a few communities began experimenting with an approach to low-level drug and alcohol offenses that brought significant change to the way the court system does business. This new approach integrated substance abuse treatment, sanctions, and incentives with case processing to place nonviolent drug and alcohol-involved defendants in judicially supervised habilitation programs. The traditional system had rarely provided substance abuse treatment to defendants in any systematic way and, in many cases, provided little or no threat of sanctions to drug and alcohol offenders.

The new approach, a significant departure from traditional court practice, was not always widely supported by members of the judiciary, prosecutors, and the defense bar. Gradually, however, judges, prosecutors, and other representatives of the justice system across the country, who were struggling with similar issues involving drug offenders, began to examine the drug court approach to assess whether replication (or adaptation) might offer them a better response to substance abuse cases.

Since 1989, more than 650 courts have implemented or are planning to implement drug courts to address the problem of substance abuse and crime. Local coalitions of judges, prosecutors, defense attorneys, treatment professionals, law enforcement officials, and others are using the coercive power of the court to force abstinence and to alter behavior with a combination of escalating sanctions, mandatory drug testing, treatment, and strong aftercare programs to teach responsibility and to help offenders reenter the community. Drug and alcohol courts are one of a few recent criminal justice initiatives that have started at the grassroots level and spread across the nation.

Congress joined local communities in acknowledging the promise of drug and alcohol courts in habilitating offenders, holding them accountable for their actions, and reducing victimization by intervening soon after arrest by enacting the Crime Act of 1994 (Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act,

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as amended, 42 U.S.C. 3796ii *et seq.*). Congress authorized the attorney general to make grants to states, state courts, local courts, units of local government, and Indian tribal governments to establish drug courts. The authority has been delegated to the assistant attorney general, Office of Justice Programs (OJP). The Drug Courts Program Office (DCPO) was established by OJP to administer the Drug Court Grant Program and to provide training, financial and technical assistance, and related programmatic guidance and leadership to communities interested in drug courts.

## **The Tribal Drug Court Initiative**

In 1997, the Tribal Drug Court Initiative was created by the U.S. Department of Justice, OJP, DCPO, in partnership with the National Association of Drug Court Professionals (NADCP), to assist interested tribal governments with the development of drug courts. Planning and implementation and, later, continuation and enhancement grants were awarded to tribal governments through applications to the DCPO.

Research has shown that alcohol is the most abused substance in tribal communities by both adults and juveniles; therefore, the use of the term “drug” in this application will include alcohol. The DCPO recognizes the impact of alcohol on tribal communities and has a special interest in encouraging communities to develop drug courts that give special attention to alcohol problems in addition to drugs.

A specialized training and technical assistance program has been developed to assist tribal communities with the development of drug court programs that work effectively within tribal justice systems and tribal culture. All tribal communities that receive grants from the DCPO have access to this training and technical assistance. Twelve tribal drug courts are now operational and 33 are in pilot or planning stages.

See Resources D for a listing of all Tribal Drug Court Grantees.

## **Important Partnership with Treatment**

For tribal drug courts to be most effective, judges must rely on treatment providers and treatment coordinators to assist in developing treatment, habilitation, and supervision plans for each defendant. Treatment is most effective when offenders are correctly matched to the appropriate level of care, as identified through the assessment or diagnostic process. The treatment needs of individuals eligible for the tribal drug court program are assessed, as are any related medical, psychological, and other problems that the treatment program will have to address. Length of stay in treatment and in aftercare are factors associated with positive outcomes and, in particular, with the cessation of drug use, reduction in recidivism rates, and improvement in educational and employment status and family relationships.

In coordination with the tribal drug court judge and other court personnel, treatment and other case management personnel assess clients’ treatment needs, track their progress in treatment programs, and determine appropriate levels of treatment services. Supportive social services provide drug court staff with links to employment, educational and vocational placement, family counseling, and housing placement assistance for tribal drug court participants.<sup>1</sup>

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<sup>1</sup> J.S. Baer and Associates (ed.). *Addictive Behaviors: Across the Life Plan: Prevention, Treatment, and Policy Issues*, Sage Publications, Newbury Park, CA, 1993.

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Drug court practitioners understand that drug and alcohol addiction is a complex, chronic, relapsing disease and that a comprehensive, sustained continuum of therapeutic interventions and services can increase clients' periods of abstinence and reduce the rate of relapse, rearrest, and incarceration. Therapeutic interventions and services include, but are not limited to, prompt intake and assessment; detoxification, if indicated; and substance abuse treatment, ranging from outpatient to residential services and including a strong focus on therapeutic relapse prevention methodologies.<sup>2</sup>

## Key Components of a Drug Court

In January 1997, DOJ released "Defining Drug Courts: The Key Components," which is based on the experience of the drug court field. The report describes the 10 key components of a drug court and provides performance benchmarks for each. The report was developed through a cooperative agreement among OJP, DCPO, and the NADCP, which convened the Drug Court Standards Committee (DCSC). The committee comprised drug court practitioners throughout the nation (judges, prosecutors, defense attorneys, treatment providers, pretrial service officers, and probation officers). The Conference of Chief Justices, the Conference of State Court Administrators, and several states have adopted the key components. More than 14,000 copies of the key components document have been distributed. The document has been used at more than 60 federal, state, and locally sponsored drug court training conferences. The report is available through the National Criminal Justice Reference Service (NCJRS) Clearinghouse, at 1-800-851-3420, and on the DCPO home page (<http://www.ojp.usdoj.gov/dcpo>).

The 10 key components were developed in 1997 for adult drug courts. At that time, there were no operational tribal drug courts, so not all of the benchmarks may apply. Many of the benchmarks and guidelines, however, can be applied to tribal communities, and applicants should refer to the 10 key components when developing their proposals and program plans.

As identified by the DCSC, the 10 key components of a drug court are:

1. Drug courts integrate alcohol and other drug treatment services with justice system case processing.
2. Using a nonadversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
3. Eligible participants are identified early and promptly placed in the drug court program.
4. Drug courts provide access to a continuum of alcohol, drug, and related treatment and rehabilitation services.
5. Abstinence is monitored by frequent alcohol and other drug testing.
6. A coordinated strategy governs drug court responses to participants' compliance.
7. Ongoing judicial interaction with each drug court participant is essential.
8. Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.

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<sup>2</sup> U.S. Department of Justice, *Defining Drug Courts: The Key Components*, Washington, DC, 1997.

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10. Forging partnerships among drug courts, public agencies, and community-based organizations generates local support and enhances drug court program effectiveness.

A document that describes how the drug court concept is being adapted in tribal communities is *Tribal Healing to Wellness Courts: A Preliminary Overview of Tribal Drug Courts*, U.S. Department of Justice, OJP, DCPO (1999).

It can be obtained by contacting NCJRS, OJP, at 1-800-851-3420, reference number NCJ 178907.

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## FY 2000 Tribal Drug Court Grant Program

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### Background

Programs funded by DCPO (Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796ii *et seq.*) are required by law to target **nonviolent offenders** and, at a minimum, must involve

- A. Continuing judicial supervision over nonviolent substance-abusing offenders; and
- B. Integrated administration of other sanctions and services in any program, which must include the following:
  - 1. Mandatory periodic testing for the use of controlled or other addictive substances during any period of supervised release or probation;
  - 2. Substance abuse treatment for each participant;
  - 3. Diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress; and
  - 4. Programmatic offender management and aftercare services, such as relapse prevention, health care, education, vocational training, job placement, housing placement, and child care or other family support services for each participant who requires such services.

For this program, the term “drug court” means a specially designed court calendar or docket (**a separate or special jurisdiction court is neither necessary nor encouraged**).

For this program, the term “violent offender” means a person who either

- A. Is charged with or convicted of an offense during the course of which
  - 1. The person carried, possessed, or used a firearm or other dangerous weapon;
  - 2. There occurred the use of force against another person; or
  - 3. There occurred the death of, or serious bodily injury to, any person, without regard to whether any of the circumstances described above was an element of the offense or conduct of which or for which the person was charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

Applicants must provide written assurance that they will target nonviolent offenders as defined by statute. Further information on the Violent Offender Prohibition is included in Appendix A.

In the past six years, significant changes have occurred in the drug court field. The increase in the number of tribal drug courts has led to more collaboration among tribal drug courts and between tribal drug courts, tribal governments, and state agencies. Innovations in the drug court field have resulted in the development of partnerships between tribal drug courts and community-oriented policing, local school systems, local mental health

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agencies, public housing, and community-based organizations. For example, an adult tribal drug court receives referrals from city and county courts for tribal members to participate in the tribal drug court.

From fiscal year (FY) 1995 through FY 1999, the DCPO awarded more than \$100 million to approximately 550 jurisdictions for the planning, implementation, or enhancement of adult, juvenile, tribal, or family drug courts. More than 250 new drug courts have been implemented as a result of DCPO funding. In FY 2000, the appropriation for this program is \$40 million.

## Purpose

The FY 2000 Tribal Drug Court Grant Program is responsive to, and supportive of, developments in the field. DCPO announces the availability of planning, implementation, and enhancement grants for tribal communities.

- Planning grants are available for as much as \$30,000 for as long as 18 months. There are separate categories this year for communities applying to plan adult drug courts and juvenile drug courts.
- Implementation grants are available for as much as \$500,000 for as long as three years. There are separate categories this year for communities applying to implement adult drug courts and juvenile drug courts.
- Enhancement grants are available for as much as \$300,000 for as long as two years. There are separate categories for single drug court enhancement and tribal-government-wide enhancements.

The following chart summarizes the FY 2000 application kit:

**Tribal Drug Court Grant Program  
Application Kit Overview**

Type of Grant	Total Award Amount for Grant Period (up to)	Grant Period (up to)	For further information, see pages....
Tribal Planning Category	\$30,000	18 months	17
Adult Drug Court Implementation	\$500,000	3 years	20
Juvenile Drug Court Implementation	\$500,000	3 years	25
Tribal Drug Court Enhancement	\$300,000	2 years	31

For further information about the Drug Court Grant Program, contact:

Marilyn M. Roberts, Director  
Drug Courts Program Office  
Office of Justice Programs  
810 7th Street, N.W.  
Washington, DC 20531  
202-616-5001



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## Eligible Applicants

For the purposes of this application kit, eligible applicants are states, state courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided on page 39. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a **subunit of government** (e.g., county probation department, district attorney's office, pretrial services agency) to be considered, it must be authorized as representing an eligible applicant (described above). For example, the county executive may designate the county probation office or county district attorney's office as its representative for the purpose of application. A model authorization letter is included in Form 5.

**Any community that currently has or previously had a grant from DCPO may submit an application; however, a strong case must be made for the need for additional resources from DCPO.**

## Tribal Planning Category

Tribal planning grants are for jurisdictions that are interested in establishing tribal drug courts and are in the early stages of planning that effort. Tribal planning grants will be awarded for as much as \$30,000 for as long as 18 months. Grants will be made on a competitive basis.

## Purpose and Goals

This program will assist tribal communities that intend to establish tribal drug courts. Planning grants will enable grantees to undertake relevant needs assessments to identify the characteristics of their drug caseloads, offender populations, and treatment options. Tribal planning grants are limited in scope and **will not necessarily lead to subsequent federal DCPO funding to implement the programs that result from the planning effort**. The outcome of the planning process, however, should enable grantees to develop sufficient needs assessments and cost analyses to justify funding requests to local, state, or federal governments or private sources. Technical assistance will be provided to assist grant recipients during their planning processes. Grant recipients will be required to carry out specific activities to aid the planning process.

Applicants are strongly encouraged to identify a local evaluator and/or consultant to assist in the planning stages.

## Program Requirements

### I. Narrative

The program narrative must **not exceed six double-spaced pages** (including the applicant information on page 34) **in 12-point type** and must include the following:

- A. A statement that outlines the nature of the drug and alcohol problem in the community. Include information about the drugs most abused and how this problem currently is (or is not) being addressed. Include

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any statistics about the drug and alcohol problem and any recent increase in nonviolent **drug, alcohol, and related offenses** (1 to 2 paragraphs).

- B. A statement about why a tribal drug court is needed (1 page).
- C. A description of the relevant stakeholders in the tribe's jurisdiction; how these parties will participate in the planning process; the capabilities and work experience; and the amount of time to be spent on the project (1 to 2 pages).

***The page lengths provided for each section are offered as guidelines for writers. The entire narrative must not exceed six pages.***

## **II. Letters of Support**

Applicants are required to submit a letter of support from each of the six key drug court team members: judge, prosecutor, defense advocate, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator. If applying for a planning grant for a juvenile drug court, the team also must include a school representative. Subsequent letters of support will be accepted from tribal council members and tribal elders. If a treatment provider has not been selected, a letter from the director of the regional Indian Health Services office or the state or county alcohol and drug abuse office is needed. All letters of support should be written by the individuals who sign them and should include the following information:

- A. An expression of support for the project;
- B. Willingness to participate in development of the project;
- C. Expected role and responsibilities in the planning process;
- D. Expected responsibilities and resources when the tribal drug court is operational;
- E. Approximate percentage of time that will be devoted to the planning of the tribal drug court; and
- F. A willingness to participate in two required OJP technical assistance conferences and one required mentor drug court training program.

## **III. Budget Detail Worksheet and Budget Narrative**

A budget detail worksheet and a budget narrative with a thorough justification for all costs, including the basis for computing them, are required. The budget must be complete, reasonable, and directly related to the activities proposed in the application. The budget must follow the format in Form 6.

It is expected that at least two-thirds of the program budget will be used for travel by the planning team, which **must** include the judge, prosecutor, defense advocate, treatment provider, project coordinator, and an individual experienced in research, evaluation, or information system development, to participate in two required OJP training conferences and one required mentor drug court training program. Additional participants may include tribal council members or tribal elders. For specifics on these training programs, see Applicant Certifications: OJP Conferences.

Federal funds allowable for this program will be 75 percent of the total program cost, with a 25 percent match. Within each budget category, the applicant must clearly delineate the individual items to be matched. As an example, an asterisk may be placed next to the individual match items. A portion of the match must be cash. This

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is required by statute; the term “portion” is not defined. The following formulas may be used to calculate local match:

$$\text{Federal Request} \div 0.75 \times 0.25 = \text{Local Match}$$

or

$$\text{Total Project Costs} \times 0.25 = \text{Local Match}$$

## **Tribal Drug Court Implementation Category**

Tribal implementation grants are available to any tribal jurisdiction that has completed a substantial amount of planning and is ready to implement a tribal drug and alcohol court. Tribal implementation grants will be awarded for as much as \$500,000 for up to a three-year project period. Jurisdictions may apply for a one-, two-, or three-year project period; however, applicants should carefully review the “Budget” section for more specific information on the project requirements associated with each project period.

Jurisdictions that received a tribal planning grant from the DCPO and have completed the OJP-sponsored training workshops will be given special consideration for funding.

### **Purpose**

The purpose of tribal implementation grants is to assist jurisdictions in developing drug and alcohol court programs that are cost-effective and are based on the 10 key components of a drug court, where applicable. Thus, tribal drug court programs supported with tribal implementation grant funds should:

- A. Promote public safety and contribute to a reduction in substance abuse and recidivism among nonviolent adult and juvenile substance-abusing offenders.
- B. Reduce reliance on incarceration within existing correctional systems and local jails.
- C. Use a nonadversarial approach to provide:
  - 1. Early identification, referral, and screening; early and frequent judicial supervision; special case processing; and random and frequent drug testing;
  - 2. Coordinated, managed, comprehensive, and appropriate substance abuse treatment services, as well as a full array of ancillary services ranging from, but not limited to, mental health, educational, vocational, public housing, and family health care (refer to Appendix F: Comprehensive Care Continuum);
  - 3. Regular staffings and status hearings at which the supervising judicial official reviews the progress (or lack thereof) of each participating defendant;
  - 4. Appropriate incentives and sanctions, including the possibility of confinement, incarceration, or prosecution in the event of a defendant’s noncompliance with drug court program requirements; and
  - 5. Ongoing criminal justice supervision and case management through the pretrial, probation, or other supervised release programs, using monitoring, tracking, and case management.
- D. Establish monitoring and evaluation measures that will demonstrate the effectiveness of the program.

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- E. Demonstrate coordination and collaboration with existing community resources and initiatives under way at the federal, state, or local level to meet the needs of this population and forge new partnerships among criminal justice agencies (law enforcement, prosecution, defense, pretrial, probation), human services agencies, and community-based organizations to enhance program effectiveness.

## A. Tribal Adult Implementation Grants

### ***Program Design Narrative***

The program design should describe the tribal adult drug court project to be implemented and include the following information:

- A. **Project Abstract** (1 page): Summarize the goals and objectives of the grant request in **no more than** 1 page.
- B. **Statement of the Problem** (one-half to 1 page): Briefly describe the nature and scope of the problem in your community that will be addressed by this project. It may help to frame the issues by asking:
1. Is there a problem with how cases involving substance abuse are handled in the existing system?
  2. How will the tribal drug court change this?
  3. Where, within the system, can the tribal drug court have the greatest impact?
  4. Whom will the tribal drug court serve?

Information that may be included in this section includes:

1. A description of how the current system operates;
  2. The availability of resources in the community;
  3. The substance abuse patterns among adult offenders in the jurisdiction and the degree to which this pattern affects the community; and
  4. The volume of arrests and crime patterns for adult offenders in the community.
- C. **Goals and Objectives** (1 page): Provide a broad statement of the desired results of the proposed project and identify the specific goals and objectives to be achieved. Goals and objectives should be described in terms of measurable performance indicators and should include a discussion of how the achievement of goals will be measured. To begin the process of goal setting, it may be helpful to frame the issue by asking:
1. What problem will be addressed by the tribal drug court?
  2. What outcomes are expected for the tribal drug court?
  3. What impact will the program have on the adult offender and the community?
  4. How will we know that our goals have been achieved?
- D. **Description of the Drug Court Program** (8 to 10 pages): Describe the tribal drug court program that will be implemented by including information addressing the following:
1. **Screening and Eligibility**
    - a. What subgroup of adult offenders will be eligible to receive the services of the tribal drug court?
    - b. How are eligible clients identified, screened, and referred to the tribal drug court, including nontribal members and nonresident tribal members?
    - c. Does the target population accurately reflect the arrestee population in the community?
    - d. What is the average length of time between arrest and first appearance in the tribal drug court?
  2. **Assessments**
    - a. Who is responsible for conducting a clinical assessment of the client?

- 
- b. What are the assessment criteria? What instruments are used to assess the strengths and needs of the client?
    - c. What is the time period for conducting an initial assessment?
  3. **Structure of the drug court** (i.e., deferred prosecution, post-adjudication, a combination)
    - a. How will the tribal drug court fit into the tribal court system?
  4. **Length of the Program**
  5. **Case Processing**
    - a. How does a case enter the tribal drug court?
    - b. How is the case resolved as a result of the client's successful or unsuccessful completion of the tribal drug court program?
  6. **Service Delivery Plan** (Applicants are strongly encouraged to review Appendix F for guidance on the components of a comprehensive treatment continuum.)

***Substance Abuse Treatment Services***

- a. Does the tribal drug court use one treatment provider or multiple providers?
- b. Describe the treatment providers (e.g., a public health organization such as the Indian Health Service [IHS]); private nonprofit; for profit.) If IHS, describe its current delivery of service.
- c. How do the treatment providers exchange information about a client's progress with other members of the tribal drug court team?
- d. Are individualized treatment plans developed that address each client's strengths and needs? If so, how often are the plans reviewed and/or revised?
- e. Describe how native culture will be incorporated into treatment services.
- f. Is the ethnicity of the treatment staff compatible with the target population?
- g. Describe how native culture will be incorporated into treatment services.
- h. Are gender- and age-specific treatments available?
- i. Describe in detail the treatment protocol (i.e., phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
- j. Do treatment services include (and, if so, how frequently):
  - group counseling sessions,
  - individual counseling sessions, or
  - family counseling sessions.
- k. Does the program address anger management, violence prevention, victimization issues, and the values formation part of the program?
- l. Describe the structured aftercare component of the drug court program.

***Educational and Vocational Services***

- a. Describe how the tribal drug court will meet these needs.
- b. To what extent are community resources available and being leveraged by the tribal drug court to assist in the provision of collateral services?

***Primary and Mental Health Care Services***

- a. Describe how the tribal drug court will meet these needs.

- 
- b. Describe the role of the local medical and mental health community within the tribal drug court program.
  - c. To what extent are community resources available and being leveraged by the drug court to assist in the provision of collateral services?

### ***Collateral Services***

- a. Describe the collateral services available to clients. Collateral services may include, but are not limited to:
  - cultural reemergence
  - traditional treatment
  - restoration
  - parenting
  - transportation
  - mentoring programs
  - community service
  - family services and case conferencing
  - mental health
  - education
  - vocational
  - medical
  - literacy programs
  - parks and recreation centers
- b. Who is responsible for working with the clients to identify collateral services needs and to ensure that these needs are met?
- c. To what extent are community resources available and being leveraged by the tribal drug court to assist in the provision of collateral services?

## **7. Case Management**

- a. Who is responsible for providing case management?
- b. How frequently are cases monitored?
- c. What is the approximate caseload per case manager?

## **8. Judicial Supervision**

- a. Does the drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of the clients? If not, how is this information provided to the judge?
- b. How frequently does the client appear before the judge?
- c. Who, other than the judge and the client, participates in the status hearings (e.g., prosecutor, defense advocate, probation officers, treatment counselors)?

## **9. Law Enforcement**

- a. What role will law enforcement have in the tribal drug court?
- b. How are jurisdictional issues being addressed?
- c. Will the tribal drug court accept referrals from other jurisdictions and share arrest data?

## **10. Drug Testing**

- a. How frequently are clients tested for drug and alcohol use?
- b. Who is responsible for administering the drug and alcohol tests?

- 
- c. Are the drug and alcohol tests administered randomly?
  - d. Are the drug tests observed as they are administered?
  - e. What are the criteria for prescription drugs?

**11. Incentives and Sanctions**

- a. What graduated incentives and sanctions are used in the program?
- b. What are the criteria for applying sanctions and incentives?
- c. How soon after an action (positive or negative) does the client receive incentive or sanction?

**12. Graduation Requirements**

**13. Expulsion Criteria**

**14. Confidentiality:** Provide a copy of the **consent form** that will be used to ensure patient confidentiality, as required by 42 USC Section 290dd-2, and the regulations implementing these laws at 42 CFR 2. For further information see *Drug Court Resource Series: Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, U.S. Department of Justice, 1999, NCJ 176977. The sample consent forms from this publication appear in Appendix B.

**15. Community linkages** that have been or will be established to support the program. (Community agencies and organizations **may include but are not limited to** faith organizations, elders councils, civic groups, businesses, social service agencies, health and mental health agencies, hospitals, community foundations, media outlets, universities/colleges, and bar associations.)

- E. Roles and Responsibilities of the Drug Court Team** (1 to 2 pages): Identify each of the members of the tribal drug court team and describe their roles and responsibilities. Also describe the mechanisms that have been or will be established to ensure effective communication and coordination among team members. The six key drug court team members must include the following: judge, prosecutor, defense advocate, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator.
- F. Evaluation and Management Information System Plan** (5 to 8 pages): Identify the independent evaluator who will work with the tribal drug court to conduct the required process evaluation. If an evaluator has not been identified, describe how the tribal drug court will work to obtain the services of an evaluator. Describe how the process evaluation will assist the tribal drug court in engaging the effectiveness of the court (meeting its operational and administrative goals) and, if warranted, adjusting policies and procedures. Identify the specific information that will be collected and analyzed as part of the process evaluation. Describe the specific data elements that will be collected and how these data will be collected for use in program operation and management. The description should include the specific quantifiable goals that will be tracked and the method for measuring progress toward those goals. **The Drug Court Grantee Data Collection Survey (see Appendix C) can be used as a starting point to identify these data elements.** (Applicants are strongly encouraged to review Appendix D for guidance on process evaluations and management information systems.)

**IMPORTANT NOTE:** The page limits that appear after each section in the Program Design Narrative are guides. Pages in excess of the total page limits **will not be considered**. Page numbering is strongly encouraged for the Program Design Narrative section of your application. Any appendices or attachments other than those required **will not be considered**.

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## ***Training and Technical Assistance***

Applicants **must** include a line item in the budget for training and technical assistance or for members of the tribal drug court team to visit an operational drug court. The DCPO Drug Court Training and Technical Assistance Initiative provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. (See page 43 for more information on the Drug Court Training and Technical Assistance Program.)

## ***Attachments***

- A. **Time and Task Plan:** Provide a plan for implementing the project that includes a detailed time schedule. This plan must cover the entire grant period and include the following information:
1. The goals of the project. Goals must be realistic, quantifiable, and attainable.
  2. The specific objectives and activities associated with each goal.
  3. The time frames associated with each activity.
  4. The persons responsible for ensuring that the activities are accomplished.
- B. **Letters of Support:** Applicants are required to submit a letter of support from each of the six key drug court team members: judge, prosecutor, defense advocate, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator. Subsequent letters can be submitted by tribal council members, tribal governors or chairpersons, or other supportive parties. All letters of support should be written by the individuals who sign them and should include the following information:
1. An expression of support for the project.
  2. Willingness to participate in development of the project.
  3. Current role and responsibilities in the planning process.
  4. Expected responsibilities and resources when the drug court is operational.
  5. Approximate percentage of time that will be devoted to both the planning and operation of the drug court.
  6. Willingness to participate in the required OJP-sponsored technical assistance training programs and workshops.
- C. **Budget**
1. Provide a Budget Detail Worksheet (as found in Form 6), complete with a budget narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide a complete Budget Detail Worksheet and budget narrative for each year of the project.
  2. The budget must be complete and reasonable, and must comply with the criteria set forth in Appendix E, Drug Court Budgets: Allowable and Unallowable Costs.
  3. Consideration of the reasonableness of a budget will be based, in part, on an examination of the ratio of the number of clients to be served by the drug court to the amount of federal funds requested.

It is imperative that the amount of federal funds requested in box #15(a) of the Application for Federal Assistance (SF 424) reflects the total amount of federal funds over the entire one-, two-, or three-year project period.

Similarly, the amount entered in box #15(b) of the Application for Federal Assistance (SF 424) must reflect the entire 25 percent match requirement. Further, the Budget Detail Worksheets and budget narratives for each year of the proposed project period must reflect the federal request and the match amount.



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Applicants are reminded that federal funds allowable for this program will be 75 percent of the total project cost, with a 25 percent match requirement. As required by statute, a portion of the match must be cash. The term “portion” is not defined. Please refer to page 40 for more information on this match requirement. The following formulas may be used to calculate local match:

$$\begin{array}{c} \text{Federal Request} \div 0.75 \times 0.25 = \text{Local Match} \\ \text{or} \\ \text{Total Project Costs} \times 0.25 = \text{Local Match} \end{array}$$

**Grant recipient’s access to second- and third-year funds will be contingent upon DCPO review and approval of the following:**

1. Policies and Procedures Manual.
2. Time and Task Plan which has been updated and revised as needed.
3. A strategy that describes the jurisdiction’s plan for sustaining the drug court program after federal financial assistance has ended.

## **B. Tribal Juvenile Implementation Grants**

With the success of drug courts over the past 10 years and the success of tribal adult drug courts in the past two years in reducing recidivism, the application of tribal drug court principles to populations in the juvenile courts was the next logical step. Applying tribal adult drug court principles to juvenile populations, however, is not as easy as replicating the tribal adult model. The circumstances and needs of youth and their families are different from those of adult criminal offenders. Accordingly, implementation of a tribal drug court aimed at youth is significantly different from one aimed at adults.

Because juvenile drug courts are still relatively young in their development, much remains to be learned about how practitioners can most effectively intervene with tribal juvenile populations in a tribal court or tribal drug court setting. Successful tribal juvenile programs incorporate treatment that draws on the strengths and addresses the needs of participants and their families, requiring a significant shift in focus from a single participant to a family and an expansion of the comprehensive continuum of care from a youth to a family. This knowledge must be combined with cultural awareness and competency. In addition, engagement of the neighborhood and broader community is important to improving the likelihood of long-term success with the juvenile substance-abusing offender.

Tribal juvenile drug courts are fundamentally different from their adult counterparts, in part because of the complexity of working with youth and their families. In contrast to adults, youth often are not addicted to drugs in the traditional sense, although they may be dependent upon substances to function on a daily basis. They usually live within families, however defined, and are required to abide by laws specific to them, such as the law requiring school attendance. Furthermore, they are still developing the cognitive, social, and emotional skills necessary to lead productive lives, the outcomes of which are significantly influenced by their families, peers, schools, and community relationships. They often abuse substances for vastly different reasons than adults. These issues present unique challenges to practitioners as they design and implement tribal juvenile drug court programs.

A jurisdiction planning or implementing a juvenile drug court should take special care to recognize the differences between adult and juvenile drug courts.

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## ***Program Design Narrative***

The program design should describe the juvenile drug court project to be implemented and include the following information:

- A. **Project Abstract** (1 page): Summarize the goals and objectives of the grant request in **no more than 1 page**.
- B. **Statement of the Problem** (one-half to 1 page): Briefly describe the nature and scope of the problem in your community that will be addressed by this project. It may help to frame the issues by asking:
1. Is there a problem with how cases involving substance abuse are handled in the existing system?
  2. How will the tribal drug court change this?
  3. Where, within the system, can the tribal drug court have the greatest impact?
  4. Whom will the tribal drug court serve?

Information that may be included in this section includes:

1. A description of how the current system operates;
  2. The availability of resources in the community;
  3. The substance abuse patterns among juveniles in the jurisdiction and the degree to which this pattern affects families and the community;
  4. The volume of arrests and crime patterns for juvenile offenders in the community; and
  5. The degree to which families are involved in the current system (i.e., a family that has a pending family, criminal, or juvenile court case).
- C. **Goals and Objectives** (1 page): Provide a broad statement of the desired results of the proposed project and identify the specific goals and objectives to be achieved. Goals and objectives should be described in terms of measurable performance indicators, including a discussion of how the achievement of goals will be measured. When measuring success with juveniles it is important not only to include indicators of recidivism and substance abuse relapse, but also to include indicators of improved individual and family functioning (i.e., a decrease in police calls to the residence, or the completion of a vocational training program). To begin the process of goal setting, it may be helpful to frame the issue by asking:
1. What problem will be addressed by the tribal juvenile drug court?
  2. What outcomes are expected for the tribal juvenile drug court?
  3. What impact will the program have on the juvenile, the family, and the community?
  4. How will we know that our goals have been achieved?
- D. **Description of the Juvenile Drug Court Program** (8 to 10 pages): Describe the tribal juvenile drug court program that will be implemented by including information addressing the following:
1. **Screening and Eligibility**
    - a. What subgroup of juveniles and their families will be eligible to receive the services of the tribal juvenile drug court?
    - b. How are eligible juveniles identified, screened, and referred to the tribal juvenile drug court, including nontribal members and nonresident tribal members?
    - c. Does the target population accurately reflect the arrestee population in the community?
    - d. What is the average length of time between arrest and first appearance in the tribal juvenile drug court?
  2. **Assessments**
    - a. Who is responsible for conducting a clinical assessment of the juveniles and their families?

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- b. What are the assessment criteria? What instruments are used to assess the strengths and needs of juveniles and their families?
    - c. What is the time period for conducting an initial assessment?
    - d. What role does the family play in the assessment process?
  3. **Structure of the Juvenile Drug Court** (i.e., deferred prosecution, post-adjudication, a combination)
    - a. How will the tribal juvenile drug court fit into the tribal court system?
  4. **Length of the Program**
  5. **Case Processing**
    - a. How does a case enter the tribal juvenile drug court?
    - b. How is the case resolved as a result of the juvenile's successful or unsuccessful completion of the tribal juvenile drug court program?
  6. **Service Delivery Plan** (Applicants are strongly encouraged to review Appendix F for guidance on the components of a comprehensive treatment continuum.)

***Substance Abuse Treatment Services***

- a. Does the tribal juvenile drug court use one treatment provider or multiple providers?
- b. Describe the treatment providers (e.g., a public health organization such as the Indian Health Services [IHS]); private nonprofit; for profit). If IHS, describe its current delivery service.
- c. Describe the treatment provider's ability to provide developmentally based services to juveniles and to their families.
- d. How do the treatment providers exchange information about a client's progress with other members of the tribal juvenile drug court team?
- e. Are individualized treatment plans developed that address each client's strengths and needs? If so, how often are the plans reviewed and/or revised?
- f. Describe how native culture will be incorporated into treatment services.
- g. Is the ethnicity of the treatment staff compatible with the target population?
- h. Are gender- and age-specific treatments available?
- i. Describe in detail the treatment protocol (i.e., phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
- j. Do treatment services include (and if so, how frequently):
  - group counseling sessions,
  - individual counseling sessions, or
  - family counseling sessions.
- k. Does the program address anger management, violence prevention, victimization issues, and the values formation part of the program?
- l. Describe the structured aftercare component of the tribal juvenile drug court program.
- m. Describe how the family will be engaged to participate in the juvenile's substance abuse treatment plan and services that they will receive.
- n. Can a family member be placed into a treatment program if needed?

***Educational and Vocational Services***

- a. Describe how the tribal juvenile drug court will meet these needs.
- b. Describe the role of the local education system with the tribal juvenile drug court program.

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### ***Primary and Mental Health Care Services***

- a. Describe how the tribal juvenile drug court will meet these needs for the juvenile and the family.
- b. Describe the role of the local medical and mental health community with the tribal juvenile drug court program.
- c. To what extent are community resources available and being leveraged by the tribal juvenile drug court to assist in the provision of collateral services?

### ***Collateral Services***

- a. Describe the collateral services available to clients. Collateral services may include, but are not limited to:
  - cultural reemergence
  - traditional treatment
  - restoration
  - parenting
  - mental health
  - educational
  - vocational
  - public housing
  - medical
  - family services and case conferencing
  - transportation
  - literacy programs
  - mentoring programs
  - parks and recreation programs
  - community service
- b. Who is responsible for working with juveniles to identify collateral services needs and to ensure that these needs are met?
- c. To what extent are community resources available and being leveraged by the juvenile drug court to assist in the provision of collateral services?

## **7. Case Management**

- a. Who is responsible for providing case management?
- b. How frequently are cases monitored?
- c. What is the approximate caseload per case manager?
- d. Does case management include visits to the home?

## **8. Judicial Supervision**

- a. Does the tribal juvenile drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of juveniles and their families? If not, how is this information provided to the judge?
- b. How frequently does the juvenile appear before the judge? Is the family required to attend?
- c. Who, other than the judge and the juvenile, participates in the status hearings (e.g., prosecutor, defense advocate, probation officers, treatment counselors)?
- d. Are the status hearings at a time when the juvenile and the family can attend? If not, what provisions are taken to inform the family of hearing outcomes?

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## 9. Law Enforcement

- a. What role will law enforcement have in the tribal drug court?
- b. How are jurisdictional issues being addressed?
- c. Will the tribal drug court accept referrals from other jurisdictions and share arrest data?

## 10. Drug Testing

- a. How frequently are clients tested for drug and alcohol use?
- b. Who is responsible for administering the drug and alcohol tests?
- c. Are the drug and alcohol tests administered randomly?
- d. Are the drug and alcohol tests observed as they are administered?
- e. Can the family members be tested for drug and alcohol use?
- f. What are the criteria for allowing participants to use prescription drugs?

## 11. Incentives and Sanctions

- a. What are the graduated incentives and sanctions used in the program?
- b. What are the criteria for applying sanctions and incentives?
- c. How soon after the action (positive or negative) does the client receive the incentive or sanction?

## 12. Graduation Requirements

## 13. Expulsion Criteria

14. **Confidentiality:** Provide a copy of the **consent form** that will be used to ensure patient confidentiality, as required by 42 United States Code (USC) Section 290dd-2, and the regulations implementing these laws at 42 Code of the Federal Regulations (CFR), Part 2. For further information see *Drug Court Resource Series: Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, U.S. Department of Justice, 1999, NCJ 176977. The sample consent forms from this publication appear in Appendix B.

15. **Community linkages** which have been or will be established to support the program. (Community agencies and organizations **may include, but are not limited to:** faith organizations; civic groups; businesses; social service agencies; health and mental health agencies; Boys & Girls Clubs; elders councils; hospitals; community foundations; media outlets; universities/colleges; bar associations, etc.)

- E. **Roles and Responsibilities of the Juvenile Drug Court Team** (1 to 2 pages): Identify each of the members of the tribal juvenile drug court team and describe their roles and responsibilities. Also describe the mechanisms that have been or will be established to ensure effective communication and coordination among the team. The seven key juvenile drug court team members must include the following: judge, prosecutor, defense advocate, treatment provider, school representative, researcher/evaluator/management information specialist, and juvenile drug court coordinator.
- F. **Evaluation and Management Information System Plan** (5 to 8 pages): Identify the independent evaluator who will work with the tribal juvenile drug court to conduct the required process evaluation. If an evaluator has not been identified, describe how the tribal juvenile drug court will work to obtain the services of an evaluator. Describe how the process evaluation will assist the tribal juvenile drug court in engaging the effectiveness of the court (meeting its operational and administrative goals), and if warranted adjusting policies and procedures. Identify the specific information that will be collected and analyzed as part of the

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process evaluation. Describe the specific data elements that will be collected and how this data will be collected for use in program operation and management. The description should include the specific quantifiable goals that will be tracked and the method for measuring progress toward those goals. **The Drug Court Grantee Reporting Requirements (see Appendix C)** can be used as a starting point to identify these data elements. (Applicants are strongly encouraged to review Appendix D for guidance on process evaluations and management information systems).

**IMPORTANT NOTE:** The page limits that appear after each section in the Program Design Narrative are guides. Pages in excess of the page limits **will not be considered**. Page numbering is strongly encouraged for the Program Design Narrative section of your application. Any appendices or attachments other than those required **will not be considered**.

### ***Training and Technical Assistance***

Applicants **must** include a line item in the budget for training and for technical assistance or for members of the tribal juvenile drug court team to visit an operational juvenile drug court. The DCPO Drug Court Training and Technical Assistance Initiative provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance are designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective juvenile drug court programs. (See page 43 for more information on the Drug Court Training and Technical Assistance Program.)

### ***Attachments***

- A. **Time and Task Plan:** Provide a plan for implementing the project to include a detailed time schedule. This plan must cover the entire grant period and include the following information:
  - 1. The goals of the project. Goals must be realistic, quantifiable, and attainable.
  - 2. The specific objectives and activities associated with each goal.
  - 3. The time frames associated with each activity.
  - 4. The persons responsible for ensuring that the activities are accomplished.
- B. **Letters of Support:** Applicants are required to submit a letter of support from each of the seven key juvenile drug court team members: judge, prosecutor, defense advocate, treatment provider, school representative, researcher/evaluator/management information specialist, and juvenile drug court coordinator. Subsequent letters can be submitted by tribal elders, tribal council members, tribal governors or chairpersons, or other supportive agencies. All letters of support should be written by the individuals who sign them and should include the following information:
  - 1. An expression of support for the project.
  - 2. Willingness to participate in development of the project.
  - 3. Current role and responsibilities in the planning process.
  - 4. Expected responsibilities and resources when the juvenile drug court is operational.
  - 5. Approximate percentage of time that will be devoted to both the planning and operation of the juvenile drug court.
  - 6. Willingness to participate in the required OJP-sponsored technical assistance trainings and workshops.
- C. **Budget**
  - 1. Provide a Budget Detail Worksheet (as found in Form 6), complete with a budget narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide a complete Budget Detail Worksheet and budget narrative for each year of the project.

- 
2. The budget must be complete and reasonable, and must comply with the criteria set forth in Appendix E, Drug Court Budgets: Allowable and Unallowable Costs.
  3. Consideration of the reasonableness of a budget will be based, in part, on an examination of the ratio of the number of juveniles and family members to be served by the tribal juvenile drug court to the amount of federal funds requested.

It is imperative that the amount of federal funds requested in box #15(a) of the Application for Federal Assistance (SF 424) reflect the total amount of federal funds over the entire one-, two-, or three-year project period.

Similarly, the amount given in box #15(b) of the Application for Federal Assistance (SF 424) must reflect the entire 25 percent match requirement. Further, the Budget Detail Worksheets and budget narratives for each year of the proposed project period must reflect the federal request and the match amount.

Applicants are reminded that federal funds allowable for this program will be 75 percent of the total project cost, with a 25 percent match requirement. As required by statute, a portion of the match must be cash. The term “portion” is not defined. Please refer to page 40 for more information on this match requirement. The following formulas may be used to calculate local match:

$$\begin{aligned} \text{Federal Request} \div 0.75 \times 0.25 &= \text{Local Match} \\ \text{or} \\ \text{Total Project Costs} \times 0.25 &= \text{Local Match} \end{aligned}$$

**Grant recipient’s access to second- and third-year funds will be contingent upon DCPO review and approval of the following:**

1. Policies and Procedures Manual.
2. Time and Task Plan that has been updated and revised as needed.
3. A strategy that describes the jurisdiction’s plan for sustaining the juvenile drug court program after federal financial assistance has ended.

## **Tribal Drug Court Enhancement Category**

Tribal enhancement grants are available to any jurisdiction that already has a fully operational drug court and wants to improve the delivery of services or enhance the existing drug court through additional services. Jurisdictions that have what they consider to be “pilot” programs should not apply in this category. Rather, jurisdictions with pilot drug court programs should consider applying for tribal implementation grants. Tribal enhancement grants will be awarded for as much as \$300,000 and for up to a two-year project period. Jurisdictions may apply for a one- or two-year project period; however, applicants should carefully review the “Budget” section for more specific information on the project requirements associated with each project period. Please note that jurisdictions applying for funds to establish an automated data collection system must provide written certification that they will communicate with their State designated “point of contact” about their information technology plans. Please refer to page 38 for more information on this Information Technology Applicant Certification.

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## Tribal Drug Court Enhancement Grants

### ***Purpose***

The purpose of tribal drug court enhancement grants is to:

- A. Continue program operation and/or to enhance the resources available to the tribal drug court.
- B. Provide additional services to tribal drug court clients in an effort to increase the likelihood of successful rehabilitation.
- C. Develop training programs to teach criminal and juvenile justice professionals, treatment providers, communities, researchers, and others about the tribal drug court philosophy and/or the components of a tribal drug court program.
- D. Conduct process and/or outcome evaluations. Evaluation plans *must* incorporate the principles set forth in Appendix D.
- E. Develop and implement an automated data collection system, or improve an existing system, for the tribal drug court program.

### ***Program Design Narrative***

- A. **Project Abstract** (1 page): Summarize the goals and objectives of the grant request in **no more than** 1 page.
- B. **Description of the Type of Enhancement** (4 to 5 pages):
  - 1. If the application is to continue program operation and/or to enhance the resources available to the tribal drug court, provide a full description of how the program will be continued and/or how resources will be enhanced. The description should include why the funds are needed, the problems that will be addressed by continuing the program and/or enhancing the resources, the goals and objectives of the proposed enhancement, and how the tribal drug court clients will benefit from the continuation of the program and/or the enhancement of resources.
  - 2. If the application is to provide additional services to tribal drug court clients, describe the services. The description should include a justification of the need for the additional services, the problems that will be addressed by the provision of additional services, the goals and objectives of the proposed enhancement, and how these additional services will benefit tribal drug court clients.
  - 3. If the application is to develop training programs for tribal drug court practitioners, provide a full description of the proposed training program. The description should include why the funds are needed; the goals and objectives of the training; the planned target audience; how the training programs will be organized; the intended impact of the training; how the training programs will be evaluated; and the intended follow-up after the training events. The applicant also should address how the training programs will incorporate the 10 key components of a drug court, where applicable. (See the OJP publication “Defining Drug Courts: The Key Components.”)  
If the application requests funds for tribal drug court practitioners to attend training programs, provide information on the subject matter of the programs to be attended, who will attend them, and what the practitioners will gain from attendance.
  - 4. If the application is to conduct a process and/or outcome evaluation, identify the independent evaluator who will work with the tribal drug court to conduct the required process evaluation. If an evaluator has not been identified, describe how the tribal drug court will obtain the services of an evaluator. Describe



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how the process evaluation will assist the tribal drug court in learning about how it is meeting its operational and administrative goals, and in adjusting policies and procedures, if warranted. Identify the specific information that will be collected and analyzed as part of the process evaluation. Describe the specific data elements that will be collected and how these data will be collected for use in program operation and management. The description should include the specific quantifiable goals that will be tracked and the method for measuring progress toward those goals. The Drug Court Grantee Reporting Requirements (see Appendix C) should be used as a guide to identifying these data elements. (Applicants are strongly encouraged to review Appendix D for guidance on process evaluations and management information systems.) (Applicants must also comply with the Human Subject Testing Requirements as set forth on page 37.) The evaluation design must be submitted to the DCPO for review and approval if the grant is awarded.

5. If the application is to develop and implement an automated management information system (MIS), provide a full description of the proposed MIS. The description should include why the funds are needed; what problem will be addressed; how information is currently being collected and analyzed; who will have direct online access to the MIS; who will enter data into the MIS; how the MIS development will be organized and who will be responsible for the project; if the MIS development will be integrated into existing systems; if and how the MIS development will expand existing capabilities; identification of consultants or trainers; and a description of how the consultants or trainers will be used. Systems developed must be capable of collecting the data required for submission in the Drug Court Grantee Reporting Requirements (see Appendix C) and to support national evaluation activity (see Appendix D).

**IMPORTANT NOTE:** If the jurisdiction requesting funds in this category has already received a DCPO implementation or enhancement grant, a strong justification must be made for the need for this grant and a solid explanation as to why state and/or local funds will not support this initiative. In addition, a clear explanation about when state and/or local funds will be available for this endeavor must be provided.

**IMPORTANT NOTE:** The page limits that appear after each section in the Program Design Narrative should serve as a guide. Pages in excess of the suggested total page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design Narrative section of the application. Any appendices or attachments other than those required **will not be considered**.

### ***Attachments***

- A. **Time and Task Plan:** Provide a plan for the enhancement project that includes a detailed time schedule. This plan must cover the entire grant period and include the following information:
  1. The goals of the project. Goals must be realistic, quantifiable, and attainable.
  2. The specific objectives and activities associated with each goal.
  3. The time frames associated with each activity.
  4. The persons responsible for ensuring that the activities are accomplished.
- B. **Policies and Procedures Manual:** Applicants must submit a Policies and Procedures Manual as an appendix to their application for a tribal single jurisdiction enhancement grant.
- C. **Letters of Support:** Applicants are required to submit a letter of support from each of the five key drug court team members: judge, prosecutor, defense advocate, treatment provider, and drug court coordinator. Subsequent letters will be accepted from tribal elders, tribal council members, tribal governors or chairper-

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sons, or other supportive agencies. All letters of support should be written by the individuals who sign them and should include the following information:

1. An expression of support for the project.
2. Willingness to participate in development of the project.
3. Current role and responsibilities in the operational tribal drug court.
4. Expected role and responsibilities and approximate percentage of time that will be devoted to the tribal drug court during the enhancement period.
5. Willingness to participate in the required OJP-sponsored technical assistance trainings and workshops.

#### **D. Budget**

1. Provide a Budget Detail Worksheet (as found in Form 6), complete with a budget narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide a complete Budget Detail Worksheet and budget narrative for each year of the project.
2. The budget must be complete and reasonable, and must comply with the criteria set forth in Appendix E, Drug Court Budgets: Allowable and Unallowable Costs.

It is imperative that the amount of federal funds requested in box #15(a) of the Application for Federal Assistance (SF 424) reflect the total amount of federal funds over the entire one- or two-year project period.

Similarly, the amount entered in box #15(b) of the Application for Federal Assistance (SF 424) must reflect the entire 25 percent match requirement. Further, the Budget Detail Worksheets and budget narratives for each year of the proposed project period must reflect the federal request and the match amount.

Applicants are reminded that federal funds allowable for this program will be 75 percent of the total project cost, with a 25 percent match requirement. As required by statute, a portion of the match must be cash. The term “portion” is not defined. Please refer to page 40 for more information on this match requirement. The following formulas may be used to calculate local match:

$$\begin{aligned} \text{Federal Request} \div 0.75 \times 0.25 &= \text{Local Match} \\ \text{or} \\ \text{Total Project Costs} \times 0.25 &= \text{Local Match} \end{aligned}$$

## **Applicant Information Page**

The **first page** of the application must include the following information in the order listed:

#### **A. Applicant Contact Information**

1. Name and job title
2. Agency
3. Name of tribe or nation
4. Address
5. Phone
6. Fax
7. E-mail

#### **B. Size of Jurisdiction**

1. Population of jurisdiction

- 
2. Urban, suburban, or rural
  3. Tribal community
  4. Name of city and county where court is located

C. Type of Tribal Drug Court Application (check one)

- ☐ Adult Planning Grant
- ☐ Juvenile Planning Grant
- ☐ Adult Implementation Grant
- ☐ Juvenile Implementation Grant
- ☐ Adult Enhancement Grant
- ☐ Juvenile Enhancement Grant

D. Designation of jurisdiction by the U.S. Department of Housing and Urban Development as an empowerment zone or enterprise community

1. Applicants will identify themselves as such or state that this designation does not apply to their jurisdictions.
2. Applicants will describe in one paragraph how they will target their tribal drug court effort to their designated area.

E. Indicate if your jurisdiction has ever received a planning grant from the Drug Courts Program Office. Include the grant number for the award.

F. Indicate if your jurisdiction has ever received an implementation, enhancement, continuation or mini-grant from the Drug Courts Program Office. Include the grant number for each award.

**[Tribal government enhancement grant applicants, stop here.]**

G. Target Population

1. Age
2. Sex
3. Misdemeanor, felony, or both
4. Total number of participants to be served by the grant. Ranges are acceptable. (Note: for juvenile drug courts, provide number of juveniles and number of family members.)

H. Drug Court Eligibility (What types of offenders will be eligible for drug courts)

1. Eligibility criteria (Include information on current charges and prior convictions)
2. How and who determines eligibility

I. Drug Court Structure (choose those that apply)

1. Deferred prosecution (pre-plea): Adjudication is deferred and defendant is diverted to treatment program after being charged
2. Post-adjudication (post-plea): Adjudication occurs, but sentence is deferred or postponed and defendant enters the treatment program
3. Other: Please explain

J. Length of Tribal Drug Court Program (in months)

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## **Applicant Certifications**

All applicants are required to provide written certification for each of the following items. Please do so in the form of a letter signed by the authorizing official.

### **A. Coordination of Federal Efforts**

Provide the following information:

1. A copy of any active federal grant award project description (from the Department of Justice, other federal agency, or other entity) already supporting this or related efforts and an explanation of how the grant award would be coordinated with the funding sought by this application.
2. Information on any pending application(s) for federal money for this or related efforts; and an explanation of how the pending application would be coordinated with the funding sought by this application. For each, include the project title, the federal grantor agency, the federal award amount, and a very brief description of the project's purpose and how the applicant plans to coordinate with the project. This information is requested to encourage better coordination among federal agencies in addressing state and local needs.

“Related efforts” are defined as those efforts that

- Have the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other federal grants);
- Comprise another phase or component of the same program or project (e.g., to implement a planning effort funded by other federal monies or to provide a substance abuse treatment or education component within a criminal justice project);
- Provide services of some kind (e.g., technical assistance, research, evaluation) to the program or project described in the application; or
- Provide information identifying related state, local, or community initiatives that complement or will be coordinated with this application.

### **B. Coordination with State, Local, and Community-Based Initiatives**

Identify the following:

1. Related tribal government, state or local government, or community-based initiatives that complement this application;
2. Related tribal government, state or local government, or community-based initiatives that are coordinated with this application and how that coordination will be achieved; and
3. The impact this initiative will have on the tribal drug court.

### **C. OJP-Sponsored Technical Assistance Trainings and Workshops**

State a willingness and ability to participate in three technical assistance workshops or conferences. Implementation and enhancement grant recipients are required to attend at least one technical assistance workshop or conference on or related to tribal drug courts. Grantees may use grant funds to cover the cost of travel and per diem for teams of participants from their jurisdictions attending the workshop or conference. Approval to attend such workshops or conferences must be obtained from the Office of Justice Programs, Drug Courts Program Office 30 days prior to the events.

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#### **D. Current Inability to Fund and Intention to Fund After Federal Assistance**

Explain the inability to fund the program adequately without federal assistance. Applicants also must provide certification of the intention and capability of the jurisdiction to continue the program after the federal funding.

#### **E. Certification required by Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 USC 3796ii *et seq.***

1. Applicants must certify that there has been appropriate consultation with all affected agencies and that there will be appropriate coordination with all affected agencies in implementation of the program. Specific examples of consultation and coordination, as well as the identities of the affected agencies, must be provided. For example, the tribal drug court will coordinate with the tribal elder council to provide counseling and incentives to its clients.
2. Applicants must certify that participating offenders will be supervised by one or more designated judges with responsibility for the tribal drug court program.

#### **F. Treatment Providers**

Provide certification that all treatment programs and providers used in the tribal drug court program are licensed, certified, or accredited by appropriate tribal government, Indian health service, state government or professional agencies.

#### **G. Violent Offenders**

Provide certification that violent offenders, as defined by Section 2203 of the Crime Act, will be excluded from drug court programs receiving funds under this program.

#### **H. Supplanting Prohibition**

Provide certification that federal funds will be used to supplement existing funds for program activities and will not replace (supplant) nonfederal funds that have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

#### **I. Human Subject Testing**

Indicate whether the project or activity proposed in the application includes research that may involve human subjects, as defined in 28 CFR 46.

The Department of Justice (DOJ) is a signatory to the federal policy on protection of human subjects of research, the "Common Rule." DOJ's incorporation of the Common Rule is set forth in 28 CFR 46, Protection of Human Subjects, which requires research involving human subjects to be submitted to an independent review board for approval and requires informed consent procedures to be followed. The policies set forth in 28 CFR 46 apply to all research involving human subjects that is conducted, supported, or otherwise subject to regulation by any federal department or agency that has adopted the Common Rule. Federal funds may not be expended for

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research involving human subjects unless the requirements of this policy have been satisfied, if the research is not covered by an exemption set forth in 28 CFR 46.101(b)(1).

## **J. Information Technology**

The Office of Justice Programs (OJP) encourages integration and interoperability of information technology (IT) systems between all justice agencies and across federal, state, and local jurisdictional boundaries. IT systems include automated information systems used by each of the justice system components (law enforcement, courts, prosecution, defense, corrections, probation, and parole) in their internal day-to-day business and in communicating with each other. To support state and local justice integration and interoperability of these systems, OJP asked the governor to designate a “point of contact” to provide information on IT plans and coordination in your state. State and local recipients of awards that will be used in whole or in part for information systems may be required by the awarding OJP Bureau to communicate with this point of contact about their information technology plans. By increasing state and local communication when planning and implementing information technology, OJP funds may be used to support interoperable, rather than isolated, information systems.

The name and address of your State Information Technology Point of Contact can be obtained by calling our customer service line at 1-800-421-6770, or on the OJP web page: <http://www.ojp.usdoj.gov>

## **Definitions**

“**Drug court**” means a specially designed court calendar or docket, the purposes of which are to achieve a reduction in recidivism and substance abuse among nonviolent substance-abusing offenders and to increase the offenders’ likelihood of successful habilitation through early, continuous, and intense judicially supervised treatment, mandatory periodic drug testing, and use of appropriate sanctions and other habilitation services.

A “**violent offender**” means a person who either

- A. Is charged with or convicted of an offense during the course of which
  1. The person carried, possessed, or used a firearm or other dangerous weapon;
  2. There occurred the use of force against another person; or
  3. There occurred the death of, or serious bodily injury to, any person, without regard to whether any of the circumstances described above was an element of the offense or conduct of which or for which the person was charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

“**Grantee**” means those states, state courts, local courts, counties, other units of local government, or Indian tribal governments acting directly or through agreement with other public or private entities that receive funding under this program.

“**State**” means any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, American Samoa, Guam, or the Northern Mariana Islands.

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**“Unit of local government”** means any city, county, township, town, borough, parish, fiscal court, village, or other general-purpose political subdivision of a state; an Indian tribe that performs law enforcement functions as determined by the Secretary of the Interior; or, for the purpose of assistance eligibility, any agency of the District of Columbia government or the United States government performing law enforcement functions in and for the District of Columbia and the Trust Territory of the Pacific Islands.

**“Indian tribe”** means a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act [43 USC 1601 *et seq.*]), that is recognized as being eligible for the special programs and services provided by the United States to Indians because of their special status as Indians.

**“Eligible applicants”** means states, state courts, local courts, counties, and other units of local government and Indian tribal governments acting directly or through agreement with other public or private entities. All applicants must demonstrate management and financial capabilities to effectively plan and implement projects of the size and scope described in this application kit. Nonprofit and for-profit agencies are not eligible applicants.

If a subunit of government (i.e., county probation department, district attorney’s office, or pretrial services agency) wishes to apply, it must be designated by an eligible applicant (described above) as the authorized representative of that applicant for purposes of applying for this grant. For example, the county executive may designate the county probation or county district attorney’s office as its representative for the purpose of applying for this grant. A model of a designation letter is included in Form 5.

## Program Provisions

### A. Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 items, all of which must be completed before your application is reviewed.

### B. Assurances

By signing the SF 424, applicants affirm that they will comply with the requirements contained in the assurances in order to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

### C. Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

#### Lobbying:

The applicant and its subgrantees, contractors, and subcontractors will not use federal funds for lobbying and will disclose any lobbying activities.

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**Debarment:**

Applicants and their principals attest that they have not been debarred or suspended from federal benefits and that no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

**Drug-Free Workplace:**

The applicant will or will continue to provide a drug-free workplace. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR 69, New Restrictions on Lobbying, and 28 CFR 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

**D. Match Requirement**

The federal share of a grant-funded project may not exceed 75 percent of the total project cost. At least 25 percent of the total project cost is a required match and must come from local sources. As required by statute, “cash” contributions must constitute a portion of the nonfederal share of the grant. “Portion” is not defined in the statute. The remainder of the match may be in-kind. For example, if the request for federal support is \$200,000, the minimum local match requirement would be \$66,667, making the total project budget \$266,667.

Within each budget category, the applicant must clearly delineate the individual items that are match. For instance, an asterisk may be placed next to the individual match items. A portion of the match must be cash. This is required by statute; the term “portion” is not defined.

The following formulas may be used to calculate local match:

$$\begin{array}{c} \text{Federal Request} \div 0.75 \times 0.25 = \text{Local Match} \\ \text{or} \\ \text{Total Project Costs} \times 0.25 = \text{Local Match} \end{array}$$

**E. Single Point of Contact Review**

Executive Order 12372 requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the state single point of contact (SPOC), if one exists, and if this program has been selected for review by the state. Applicants must contact their state SPOC to determine whether the program has been selected for state review. The date that the application was sent to the SPOC or the reason such a submission is not required should be entered in block 16 on the Application for Federal Assistance, SF 424.

**F. Civil Rights Compliance**

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. In the event that a court or administrative agency makes a finding of discrimination on



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grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights of the Office of Justice Programs. All applicants should consult the assurances required with the application funds to understand the applicable legal and administrative requirements.

### **G. Suspension or Termination of Funding**

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 USC 3796ii *et seq.* and the program guidelines issued thereunder, or other provisions of federal law;
- Failure to make satisfactory progress toward the goals or strategies set forth in this application;
- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions;
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- Filing a false certification in this application or other report or document; or
- Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearings and appeal procedures will follow those in Department of Justice regulations described in 28 CFR 18.

### **H. Reporting Requirements**

All recipients of grants awarded by the Drug Courts Program Office are required to submit the following: financial status reports; categorical assistance progress reports; and the Drug Court Grantee Data Collection Survey. In addition, recipients who expend \$300,000 or more of federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. Refer to Appendix C for more specific information on these reporting requirements.

## **Application Review and Award Process**

Applications submitted in response to this solicitation will be reviewed by a panel of tribal drug court professionals, who will make recommendations to Office of Justice Programs (OJP) regarding the relative strengths of the applications. Reviewers will consider how well each applicant covers the information requested for each program in this guideline. No appendices will be reviewed other than those required in the application. The reviewers will consider whether budgets are detailed, reasonable, and directly related to the proposed program. Priority will be given to **innovative** and **comprehensive** programs. Only programs containing the essential elements of treatment drug courts, described on Appendix F (p. 95) of this guideline, will be funded. The final award decision will be made by OJP.

**OJP anticipates announcing the awards by July 1, 2000.** The announcement will be on the OJP home page ([www.usdoj.ojp/dcpo](http://www.usdoj.ojp/dcpo)) and is solely an announcement of OJP's intention to fund an application. Award documentation will not be mailed out at that time. OJP then will negotiate specific terms of awards with the selected

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applicants. Awards will be processed and mailed to the recipients by September 30, 2000. Selected applicants can anticipate a project start date of July 1, 2000.

At the conclusion of the review process, letters will be sent to all applicants, notifying them that their proposals have been selected or providing the reasons they were not selected.

## **Equitable Distribution of Grant Awards**

In all cases, the U.S. Department of Justice will attempt to award grants on a geographically equitable basis that will address the needs of smaller jurisdictions as well as large urban centers. Jurisdictions that contain federally designated Empowerment Zones or Enterprise Communities may receive special consideration if they describe how they will target their drug court effort to the designated area.

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# Drug Court Training and Technical Assistance Program

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The Drug Court Training and Technical Assistance Program has greatly expanded in the past two years and builds upon the foundation of the previous training and technical programs. While many courts and treatment providers are interested in the drug court concept, they have little experience with the rethinking and effort required to apply this approach to managing offenders. In addition, court administrators and judges have difficulty identifying the questions to ask about program impact, as pointed out in the 1997 Government Accounting Office (GAO) report on drug courts. It is the philosophy of the Drug Courts Program Office (DCPO) that these issues can best be addressed through training and technical assistance to promote and support the best practices in the development, implementation, evaluation, and institutionalization of drug courts. Technical assistance and training will be available to all grantees.

On the basis of the complexity and diversity of the drug court field, DCPO has developed eight initiatives under this program to meet the training and technical assistance needs of drug courts. The following is a brief summary of the initiatives:

## **I. Drug Court Clearinghouse**

This initiative is currently jointly funded by the DCPO and the Local Law Enforcement Block Grant Program (LLEBG), Bureau of Justice Assistance (BJA). The goals of this initiative are to:

- A. Assist communities in the development of effective drug court teams, in the engagement of multiple systems, and in the design and development of drug courts that include all 10 key components of drug courts.
- B. Collect, analyze, and disseminate information about drug courts that will provide the drug court field with specific resources to strengthen their ability to operate effectively.
- C. Increase communication and sharing of information among drug courts.
- D. Provide comprehensive on-site technical assistance to grantees.

For further information, contact:

The American University Drug Court Clearinghouse and Technical Assistance Project  
Caroline Cooper, Associate Director  
4400 Brandywine Street, N.W.  
Washington, DC 20016-8159  
202-885-2875  
[www.american.edu/justice](http://www.american.edu/justice)

## **II. Grantee Training Conferences**

This initiative is jointly funded by the DCPO and LLEBG/BJA. The goals of this initiative are to:

- A. Assess the training needs of DCPO adult drug court planning, implementation, and enhancement grantees. Develop training agendas that reflect state-of-the art knowledge on adult drug courts.
- B. Teach and demonstrate the importance of the key components for adult drug courts.

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- C. Strengthen the drug court team's capacity to work as a unit, expand team membership, foster practitioner-to-practitioner training, and provide maximum networking opportunities.

For further information, contact:

The Justice Management Institute  
Barry Mahoney, President  
1900 Grant Street, Suite 630  
Denver, CO 80203  
303-831-7564  
e-mail: JMIDENVER@aol.com

### **III. Mentor Drug Court Network**

The goals of this initiative are to:

- A. Foster the development of drug courts through the direct observation of existing drug courts and through dialogue with drug court practitioners.
- B. Develop a mentor drug court network that coordinates visits to selected drug courts and develops training programs at the sites, while minimizing the burden on the host drug courts.
- C. Assist communities in the development of effective drug court teams and in the development of an effective operational drug court that follows the 10 key components.

For further information, contact:

The National Association of Drug Court Professionals  
Lolita Curtis, Vice President  
900 N. Pitt Street, Suite 370  
Alexandria, VA 22314  
1-888-316-2327  
www.drugcourt.org

### **IV. Tribal Drug Court Training and Technical Assistance**

The goals of this initiative are to:

- A. Assess the training needs of DCPO tribal drug court planning, implementation, and enhancement grantees, and develop training agendas to assist Native American and Alaskan Native communities in developing, implementing, and enhancing effective tribal drug court programs that reduce recidivism and improve abstinence.
- B. Develop a training program for trainers and technical assistance providers to serve the Native American and Alaskan Native communities.
- C. Develop curriculums that use specially trained faculty to train Native American and Alaskan Native teams to plan, implement, and enhance tribal drug courts that effectively fit into tribal justice systems and Native American and Alaskan Native communities.
- D. Develop a specialized technical assistance strategy for providing on-site technical assistance to Native American and Alaskan Native tribes that have attended the specialized drug court training programs.

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For further information, contact:

The National Association of Drug Court Professionals  
Janna Walker, Program Director  
900 N. Pitt Street, Suite 370  
Alexandria, VA 22314  
1-888-316-2327  
www.drugcourt.org

The Tribal Law and Policy Institute  
Jerry Gardner, Executive Director  
P.O. Box 460370  
San Francisco, CA 94146  
415-647-1755  
jerry@tribal-institute.org

## **V. Juvenile Drug Court Training and Technical Assistance**

This initiative is currently jointly funded by the DCPO and the Juvenile Accountability Incentive Block Grant Program, Office of Juvenile Justice and Delinquency Prevention. The goals of this initiative are to:

- A. Assess the training needs of DCPO juvenile drug court planning, implementation, and enhancement grantees and develop training agendas to assist communities in developing and implementing effective juvenile drug court programs that reduce recidivism and improve abstinence.
- B. Assist communities in the development of effective juvenile drug court teams, in the engagement of multiple systems, and in the design and implementation of juvenile drug courts.
- C. Develop curriculums that use specially trained faculty to train juvenile drug court teams to plan and implement drug courts.
- D. Develop a training program for trainers and technical assistance providers to serve the juvenile drug court community.

For further information, contact:

National Council of Juvenile and Family Court Judges  
Iris Key, Manager  
Substance Abuse Programs  
P.O. Box 8970  
Reno, NV 89507  
702-784-1663  
key@ncjfcj.unr.edu

## **VI. Evaluation and Management Information Systems Training and Technical Assistance**

This initiative is currently jointly funded by the DCPO and LLEBG/BJA. The goals of this evaluation and management information system (MIS) initiative are to:

- A. Provide drug court programs with the specific resources to strengthen their capacity to collect the data necessary to effectively monitor and evaluate their drug court program.

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- B. Provide the drug court field with a wide range of assistance in the development and execution of both process and impact evaluations.
  - C. Provide the drug court field with a wide range of assistance in the development of drug court MISs.
  - D. Provide specialized training on the development of drug court MISs and evaluations.
  - E. Develop innovative information-sharing techniques for dissemination of information on drug court evaluations and MISs.
  - F. Develop a needs assessment for training and technical assistance on MIS and evaluation.

For further information, contact:

SEARCH, Incorporated  
Francis Bremson, Manager  
7311 Greenhaven Drive, Suite 145  
Sacramento, CA 95831  
916-392-2550  
[www.search.org](http://www.search.org)

The Center for Court Innovation  
Eric Lee, Deputy Director  
351 West 54th Street  
New York, NY 10019  
212-373-8088  
[www.communitycourts.org](http://www.communitycourts.org)

## **VII. Training and Technical Assistance for Treatment in Drug Courts**

The goals of this initiative are to:

- A. Develop a list of leading drug treatment experts with experience in providing treatment within the criminal justice system.
- B. Develop an inventory of drug treatment services offered in drug courts.
- C. Convene a meeting of drug court treatment providers.
- D. Analyze the status of drug treatment in drug courts within the context of nationally recognized standards.
- E. Develop a process for the delivery of technical assistance to drug courts experiencing difficulty in delivering treatment services.
- F. Provide technical assistance to drug courts experiencing difficulty in delivering treatment services.

For further information, contact:

National Treatment Accountability for Safer Communities  
Irene Gainer, Director  
1911 N. Fort Myer Drive  
Suite 900  
Arlington, VA 22209  
703-522-7212  
[natasc@aol.com](mailto:natasc@aol.com)

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## VIII. National Drug Court Institute

The Office of National Drug Control Policy has transferred funding to the DCPO for this initiative. The components of this initiative are:

- A. Education—To provide comprehensive skills-based training to drug court practitioners. Areas include:
  - 1. Adult and Juvenile Drug Court Judges
  - 2. Adult and Juvenile Drug Court Coordinators
  - 3. Drug Court Treatment Providers
  - 4. Drug Court Public Defenders
  - 5. Drug Court Prosecutors
- B. Research—To support investigative projects aimed at the development of more effective drug court policies and procedures. Areas include:
  - 1. Ethics and Confidentiality
  - 2. Drug Court Systems
  - 3. Jail-based Treatment
  - 4. Prison-based Treatment
  - 5. Drug Court Case Management Standards
  - 6. Regional Research Meetings
  - 7. Standardization Project
- C. Scholarship—To disseminate important drug-court-specific research, evaluations, and commentary. Areas include:
  - 1. A semiannual publication designed to keep practitioners and policymakers abreast of new developments in the drug court field.
  - 2. Dissemination of scholastic articles.

For further information, contact:

West Huddleston, Deputy Director  
National Drug Court Institute  
900 N. Pitt Street, Suite 370  
Alexandria, VA 22314  
1-888-909-6324





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## Forms

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### 1: Applicant Workshops Registration Form

**Drug Courts Program Office**

**Regional Applicant Workshops**

**REGISTRATION FORM**

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_ **Email:** \_\_\_\_\_

**Drug Court Jurisdiction (if Applicable):** \_\_\_\_\_

Please check the city that you plan to attend:

\_\_\_\_\_ Washington, DC—January 14, 2000

\_\_\_\_\_ Albuquerque, NM—January 21, 2000

\_\_\_\_\_ San Francisco, CA—January 24, 2000

To receive logistical information, including meeting locations, please go to [www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo) or call 1-800-851-3420 and press #1 for the Fax on Demand Service. The document number is 100.

If you have any questions or require additional information, please call Pauline Gentles at 301-519-5329.

Please return this form by **January 5, 2000** to:

**Drug Courts Program Office**  
**Application Workshop**  
**Fax: 301-519-5355**  
**or mail to**  
**2277 Research Blvd, MS 7D**  
**Rockville, MD 20850**

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## **2: Standard Application Form (SF 424), Sample and Instructions**



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## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 different items which are to be completed before submission. All applications should include a completed and signed SF 424.

### Item Instructions

- 1 **Type of Submission:** If this proposal is not for construction or building purposes, check the “Non-Construction” box in the application section.
- 2 **Date Submitted:** Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
- 3 **Date Received by State:** Leave blank. This item is completed by the State single point of contact, if applicable.
- 4 **Date Received by Federal Agency:** Leave blank. This item will be completed by OJP.
- 5 **Applicant Information:** The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include their telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
- 6 **Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
- 7 **Type of Applicant:** Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium.”
- 8 **Type of Application:** Check either “new” or “continuation.” Check “new” if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation,” if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
- 9 **Name of Federal Agency:** Type in the name of the awarding agency, “Drug Courts Program Office, Office of Justice Programs.”
- 10 **Catalog of Federal Domestic Assistance Number:** This would be contained in the program announcement. The number for this program would be 16.585.

- 
- 11 Descriptive Title of Applicant's Project:** Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant's fiscal year, i.e. twelve month audit period, ex. 10/1/97 - 9/30/98.
  - 12 Areas Affected by Project:** Identify the geographic area(s) of the project. Indicate "Statewide" or "National," if applicable.
  - 13 Proposed Project Dates:** Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
  - 14 Congressional Districts:** Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "Statewide" or "National," if applicable.
  - 15 Estimated Funding:** In line "a," enter the federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.
  - 16 State Executive Order 12372:** Some states require you to submit your application to a state "Single Point of Contact" (SPOC) to coordinate applications for federal funds within the state. If your state requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the "Administrative Requirements" section of the program announcement for more information.) The SPOC is not responsible for forwarding your application to the federal awarding agency.
  - 17 Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
  - 18 Authorized Representative:** Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as "original" to help distinguish the original from the photocopies.

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### **3: Assurances and Certifications Required of all Federal Grant Recipients**

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## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



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#### **4: Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements**



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUGFREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into or any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds either direct Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12548, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.610,

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local)

transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commissions of embezzlement, theft, bribery, kickback, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUGFREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about —

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(c) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 833 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted —

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate voluntarily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the title(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 530 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 40617.

Check ☐ if the State has elected to complete OJP Form 40617.

### DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 20 CFR Part 67, Sections 67.615 and 67.620 —

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 833 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

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## 5: Sample Applicant Authorization Letter

Marilyn Roberts  
Director  
Drug Courts Program Office  
810 Seventh Street, NW  
Eighth Floor  
Washington, DC 20531

[current date]

RE: [drug court grant number, name of grant, and  
type of grant]

Dear Ms. Roberts:

As the [Chief Executive Officer or similar authority] for the [Tribal Government, State or unit of local government], on behalf of [Tribal Government, State or unit of local government], I hereby authorize [name of agency administering the grant] as the official representative of [Tribal Government, State or unit of local government] authorized to apply to undertake a drug court program or project in whole or in part. This designation is made pursuant to the authority conferred upon me by Section 901(c) of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC § 3791(c), and it is effective as of [date of original application].

Any additional correspondence concerning this drug court grant should be directed to [the agency administering the grant]. The appropriate contact person at that agency is [contact at agency administering the grant], who can be reached at [phone number].

Sincerely,

[name and title]

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## 6: Budget Detail Worksheet and Sample

OMB Approval No. 1121-0188

Expires 5-98 (Rev. 1/97)

### Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

- A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		<b>TOTAL</b> _____

- B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Worker's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
		<b>TOTAL</b> _____

**Total Personnel & Fringe Benefits** \_\_\_\_\_

- C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to three-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
				<b>TOTAL</b> _____

- D. Equipment** - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000.) Expendable items should be included either in the "Supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rent or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
TOTAL _____		

- E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and expendable items costing less than \$5,000, such as books, handheld tape recorders, and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000.) Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
TOTAL _____		

- F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
TOTAL _____		

- G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (eight-hour day), and estimated time on the project. Consultant fees in excess of \$250 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
Subtotal _____			

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
Subtotal _____			

---

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
	<b>Subtotal</b> _____
	<b>TOTAL</b> _____

- H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		<b>TOTAL</b> _____

- I. Indirect Costs** - Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
		<b>TOTAL</b> _____

---

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of federal funds requested and the amount of non-federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	_____
TOTAL PROJECT COSTS	_____
Federal Request	_____
Non-Federal Amount	_____



---

## Budget Detail Worksheet

Note: Please break down each of the categories (A-I) into Federal and local share.

<i>For example:</i>	<b>Total</b>	<b>Federal</b>	<b>Local</b>
A. Personnel			
B. Fringe Benefits			
C. Travel			
D. Equipment			
E. Supplies			
F. Construction			
G. Consultants			
H. Other			
Total Direct Costs			
I. Indirect Costs			
TOTAL PROJECT COSTS			
Federal Request			
Non-Federal Amount			

The “Total” amount column should detail total project costs for the drug court program. The “Federal” amount column should detail the applicant’s federal request which can be no more than 75 percent of the total project costs. The “Local” amount column should detail the applicant’s match which must be at least 25 percent of the total project’s costs.

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**SAMPLE BUDGET: This is not a drug court budget. It should serve to provide information on the detailed calculations required for computation.**

OMB Approval No. 1121-0188

Expires 5-98 (Rev. 1/97)

## Budget Detail Worksheet Sample

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

(Example assumes a one-year budget period and 25% cash match requirement)

- A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
John Smith, Investigator	$(\$50,000 \times 100\%)$	\$50,000
2 Investigators	$(\$50,000 \times 100\% \times 2)$	\$100,000
Secretary	$(\$30,000 \times 50\%)$	<u>\$15,000</u>
		\$165,000
Cost of living increase	$(\$165,000 \times 2\% \times .5 \text{ yr.})$	\$1,650
Overtime per investigator	$(\$37.5/\text{hr} \times 100 \text{ hrs} \times 3)$	\$11,250

The three investigators will be assigned exclusively to homicide investigations. A 2% cost of living adjustment is scheduled for all full-time personnel six months prior to the end of the grant. Overtime will be needed during some investigations. A half-time secretary will prepare reports and provide other support to the unit.

**TOTAL** **\$177,900**

- B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Worker's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
Employer's FICA	$(\$177,900 \times 7.65\%)$	\$13,609
Retirement	$*(\$166,650 \times 6\%)$	\$9,999
Uniform Allowance	$(\$50 \text{ mo.} \times 12 \text{ mo.} \times 3)$	\$1,800
Health Insurance	$*(\$166,650 \times 12\%)$	\$19,998
Worker's Compensation	$(\$177,900 \times 1\%)$	\$ 1,779
Unemployment Compensation	$(\$177,900 \times 1\%)$	\$ 1,779
* $(\$177,900 \text{ less } \$11,250)$	<b>TOTAL</b>	<u><b>\$48,964</b></u>

**Total Personnel & Fringe Benefits** **\$226,864**

- C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to three-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
Training	Boston	Airfare	(\$150 x 2 people x 2 trips)	\$ 600
		Hotel	(\$75/night x 2 nights x 2 people x 2 trips)	\$ 600
		Meals	(\$35/day x 3 days x 2 people x 2 trips)	\$ 420
Investigations	New York City	Airfare	(\$600 average x 7)	\$4,200
		Hotel &	(\$100/day average x 7 x 3	\$2,100
		Meals	days)	

Two of the investigators will attend training on forensic evidence gathering in Boston in October and January. The investigators may take up to seven trips to New York City to follow up investigative leads. Travel estimates are based upon applicant's formal written travel policy.

**TOTAL** **\$7,920**

- D. Equipment** - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000.) Expendable items should be included either in the "Supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high-cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
3 - 486 Computer w/CD ROM	(\$2,000 x 3 )	\$6,000
Video Camera		\$1,000

The computers will be used by the investigators to analyze case and intelligence information. The camera will be used for investigative and crime scene work.

**TOTAL** **\$7,000**

---

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and expendable items costing less than \$5,000, such as books, handheld tape recorders), and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

<b>Supply Items</b>	<b>Computation</b>	<b>Cost</b>
Office Supplies	(\$50/mo x 12 mo)	\$ 600
Postage	(\$20/mo x 12 mo)	\$ 240
Training Materials	(\$2/set x 500 sets)	\$1,000

Office supplies and postage are needed for general operation of the program. Training materials will be developed and used by the investigators to train patrol officers how to preserve crime scene evidence.

**TOTAL** **\$1,840**

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

<b>Purpose</b>	<b>Description of Work</b>	<b>Cost</b>
Renovation	Add walls	\$5,000
	Build work tables	\$3,000
	Build evidence storage units	\$2,000

The renovations are needed to upgrade the forensic lab used to analyze evidence for homicide cases.

**TOTAL** **\$10,000**

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$250 per day require additional justification and prior approval from OJP.

<b>Name of Consultant</b>	<b>Service Provided</b>	<b>Computation</b>	<b>Cost</b>
John Doe	Forensic Specialist	(\$150/day x 30 days)	\$4,500

John Doe, Forensic Specialist, will be hired, as needed, to assist with the analysis of evidence in homicide cases.

**Subtotal** **\$4,500**

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**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging etc.)

<b>Item</b>	<b>Location</b>	<b>Computation</b>	<b>Cost</b>
Airfare	Miami	\$400 x 6 trips	\$2,400
Hotel and Meals		(\$100/day x 30 days)	\$3,000
Joe Doe is expected to make up to 6 trips to Miami to consult in homicide cases.			
<b>Subtotal</b>			<b><u>\$5,400</u></b>

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<b>Item</b>	<b>Cost</b>
Intelligence System Development	\$102,000

The State University will design an intelligence system to be used in homicide investigations. A sole source justification is attached. Procurement Policy is based on the Federal Acquisition Regulation.

Subtotal	<u>\$102,000</u>
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<b>TOTAL</b>	<b><u>\$111,900</u></b>
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**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
Rent	(700 sq. ft. x \$15/sq. ft.) (\$875 mo. x 12 mo.)	\$10,500

This rent will pay for space for the new homicide unit. No space is currently available in city-owned buildings.

Telephone	(\$100/mo. x 12)	\$ 1,200
Printing/Reproduction	(\$150/mo. x 12)	\$ 1,800
<b>TOTAL</b>		<b><u>\$13,500</u></b>

- 
- I. Indirect Costs** - Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
10% of personnel and fringe benefits	(\$226,864 x 10% )	\$22,686

The indirect cost rate was approved by the Department of Transportation, the applicant's cognizant federal agency on January 1, 1994. ( A copy of the fully executed, negotiated agreement is attached.)

<b>TOTAL</b>	<b><u>\$22,686</u></b>
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**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of federal requested and the amount of non-federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
A. Personnel	\$177,900
B. Fringe Benefits	\$48,964
C. Travel	\$7,920
D. Equipment	\$7,000
E. Supplies	\$1,840
F. Construction	\$10,000
G. Consultants/Contracts	\$111,900
H. Other	\$13,500
Total Direct Costs	\$379,024
I. Indirect Costs	\$22,686
TOTAL PROJECT COSTS	\$401,710
Federal Request	\$301,283
Non-Federal Amount	\$100,427

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## Budget Detail Worksheet Sample

Note: Please break down each of the categories (A-I) into federal and local share.

<i>For example:</i>	<b>Total</b>	<b>Federal</b>	<b>Local</b>
A. Personnel	\$10,000	\$7,500	\$2,500
B. Fringe Benefits	\$2,500	\$0	\$2,500
C. Travel	\$10,000	\$10,000	\$0
D. Equipment	\$0	\$0	\$0
E. Supplies	\$5,000	\$0	\$5,000
F. Construction	\$0	\$0	\$0
G. Consultants	\$20,000	\$20,000	\$0
H. Other	\$0	\$0	\$0
Total Direct Costs	\$47,500	\$37,500	\$10,000
I. Indirect Costs	\$2,500	\$0	\$2,500
TOTAL PROJECT COSTS	\$50,000	\$37,500	\$12,500
Federal Request	\$37,500		
Non-Federal Amount	\$12,500		

The “Total” amount column should detail total project costs for the drug court program. The “Federal” amount column should detail the applicant’s federal request, which can be no more than 75 percent of the total project costs. The “Local” amount column should detail the applicant’s match, which must be at least 25 percent of the total project’s costs.





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## Appendices

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## Appendix A

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### Violent Offender Frequently Asked Questions

#### Background

Questions are pursuant to the definition of “violent offender” as stated in the statute. The statute defines “violent offender” as a person who either

1. Is charged with or convicted of an offense, during the course of which offense or conduct
  - A. The person carried, possessed, or used a firearm or dangerous weapon;
  - B. There occurred the death of, or serious bodily injury to any person; or
  - C. There occurred the use of force against another person, without regard to whether any of the circumstances described in subparagraph (A), (B), or (C) is an element of the offense or conduct of which or for which the person is charged or convicted; or
2. Has one or more prior convictions for a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm, 42 U.S.C. § 3796ii *et seq.*

#### Questions

1. **Is an offender eligible for the drug court program if he or she has *previously* been convicted of a *misdemeanor* offense related to threatened or actual use of force; or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony crimes of violence. If a person has a prior misdemeanor conviction, even though threatened or actual use of force; or use, possession, or carrying of a firearm or dangerous weapon occurred during the offense, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

2. **Is an offender eligible for the drug court program if he or she has a prior *felony arrest* (but not conviction) for an offense related to threatened or actual use of force; or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony *convictions*. Prior felony arrests are not included in this definition. If a person has a prior felony arrest, even though it involved threatened or actual use of force, or use, possession or carrying of a firearm or dangerous weapon, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

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**3. Is an offender eligible for the drug court program if a charge that would qualify as a violent offense according to the definition above is dropped or reduced to a nonviolent offense?**

If a charge is dropped or reduced to a nonviolent offense, the offender is eligible for the drug court program. Charges that have been dropped cannot be considered when assessing whether an offender falls under the violent offender definition. Reduced charges are subject to the violent offender definition. Therefore, if the reduced charge does not qualify as a violent offense, then the offender is eligible.

**4. Is an offender eligible for the drug court program if he or she has a juvenile adjudication for an offense related to threatened or actual use of force; or use, possession or carrying a firearm or dangerous weapon?**

The drug courts statute, 42 U.S.C. §§ 3786ii to 3796ii-8 (1994), does not set out different standards for juvenile offenders. Therefore, juvenile violent offenses are governed by the same standards as adult violent offenses.

Consequently, if the juvenile offender is currently charged with or convicted of an offense during the course of which threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon occurred, the juvenile will be categorized as a violent offender and ineligible for drug court programs. In addition, if the juvenile offender has a prior felony conviction for an offense related to threatened or actual use of force or use, possession or carrying of a firearm or dangerous weapon, the juvenile will be categorized as a violent offender and ineligible for drug court programs.

**5. If violent offenders are admitted, inadvertently or otherwise, to the drug court program, is it possible for the OJP grant to be rescinded or canceled?**

The statute provides that if the Assistant Attorney General determines that one or more violent offenders are participating in a program receiving funding under this part, such funding shall be promptly suspended, pending the termination of participation by those persons deemed ineligible to participate under the statute, 42 U.S.C. § 3796ii *et seq.*

If it is discovered that violent offenders are inadvertently participating in a drug court program, the federally funded portion of the program will be suspended pending the removal of the violent offenders from the program. If the program fails to remove the violent offenders, funding must be rescinded or canceled, as the statute provides that no violent offenders will be permitted to participate in a federally funded drug court program.

**6. Does the degree of violence within an offense affect eligibility?**

Under the specific situations set out by the statute, the degree of violence within a qualifying offense is irrelevant. If the offender commits a “violent offense” under the statute, then he or she is ineligible to participate in a drug court program.

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**7. Does the definition of “violent offender” include persons who legally use, possess, or carry a firearm or dangerous weapon?**

The DCPO interprets the definition of “violent offender” as being restricted to persons who illegally use, possess, or carry a firearm or dangerous weapon. Therefore, offenders are not precluded from participation in a Drug Court for either:

- A. using a legally licensed firearm or dangerous weapon in a legally justifiable way, such as in circumstances of self defense, or
- B. possession or carrying an otherwise legally licensed firearm or dangerous weapon.

**8. If a drug court client commits a violent crime, as defined by the statute, while in the program does he or she have to be removed from the program? Does it matter if the new charge is a misdemeanor or a felony?**

Yes, any new violent charge, as defined by the statute, whether a misdemeanor or a felony, prohibits the client from further or continued participation in the program. If and only if the violent charges are dropped or the client is found innocent can the client re-enter the program.

**NOTE:** Violent offenders may be placed into a separate drug court track not funded by the OJP/DCPO.



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## Appendix B

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### **SAMPLE CONSENT FOR DISCLOSURE OF CONFIDENTIAL SUBSTANCE ABUSE INFORMATION: DRUG COURT REFERRAL**

I, defendant's name, hereby consent to communication between treatment program's name and Judge name of presiding judge, name of prosecuting attorney or prosecutor's office, name of defense attorney, the probation department of jurisdiction, (and/or other referring agency), (other).

The purpose of and need for this disclosure is to inform the court and other above-named parties of my eligibility and/or acceptability for substance abuse treatment services and my treatment attendance, prognosis, compliance and progress in accordance with the Drug Court monitoring criteria.

Disclosure of this confidential information may be made only as necessary for and pertinent to hearings and/or reports concerning charges, docket number, indictment number.

I understand that this consent will remain in effect and cannot be revoked by me until there has been a formal and effective termination of my involvement with the Drug Court for the case named above, such as the discontinuation of all court (and/or, where relevant, probation) supervision upon my successful completion of the Drug Court requirements *or* upon sentencing for violating the terms of my Drug Court involvement (and/or, where relevant, probation).

I understand that any disclosure made is bound by Part 2 of Title 42 of the Code of Federal Regulations, which governs the confidentiality of substance abuse patient (or client) records, and that recipients of this information may redisclose it only in connection with their official duties.

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Signature of Defendant*

\_\_\_\_\_  
*Signature of parent, guardian or  
representative (if required)*

# SAMPLE QUALIFIED SERVICE ORGANIZATION AGREEMENT

Between

PIONEER CLAIM MANAGEMENT and OSBORNE TREATMENT SERVICES, INC.

PIONEER CLAIM MANAGEMENT (PIONEER) and OSBORNE TREATMENT SERVICES, INC. (OSBORNE) hereby enter into a Qualified Service Organization Agreement whereby PIONEER agrees to provide liability insurance representation, including contracting for legal services, to OSBORNE in the matter of *Luis Martinez vs. 809 Realty Corp. and Osborne Treatment Services, Inc.* Furthermore, PIONEER

- 1) acknowledges that in receiving, storing, processing, or otherwise dealing with any information from OSBORNE about any client of OSBORNE, past or present, PIONEER and all of its agents and assigns are fully bound by the provisions of the federal laws and regulations governing the Confidentiality of Drug and Alcohol Abuse Patient Records (*42 United States Code Section 290dd-2 and 42 Code of Federal Regulations Part 2*); and
- 2) undertakes to resist, in judicial proceedings if necessary, any efforts to obtain access to information pertaining to any OSBORNE client otherwise than as expressly provided for in the federal confidentiality regulations (*42 CFR Part 2*).

Executed this day of \_\_\_\_\_, 2000

\_\_\_\_\_  
Signature of PIONEER Officer

\_\_\_\_\_  
Signature of OSBORNE Officer

\_\_\_\_\_  
Print Name of Signing Officer

\_\_\_\_\_  
Print Name of Signing Officer

\_\_\_\_\_  
Title of Signing Officer  
PIONEER CLAIM MANAGEMENT  
195 Lake Louise Marie Road  
Rock Hill, NY 12775

\_\_\_\_\_  
Title of Signing Officer  
OSBORNE TREATMENT SERVICES, INC.  
809 Westchester Avenue  
Bronx, NY 10455



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## Appendix C

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### Drug Court Grantee Reporting Requirements

All recipients of Drug Courts Program Office grants are required to submit the following reports:

1. **Financial Status Reports (SF 269):** Financial status reports (SF 269-A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.
2. **Categorical Assistance Progress Reports:** Recipients of funding are required to submit an initial and then semi-annual progress report. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package.
3. **Drug Court Grantee Data Collection Survey:** To ensure that grantees are collecting critical information about their drug court programs for evaluation purposes and to assist in the national evaluation of drug courts, grantees that receive funds to implement or enhance a drug court are required to submit the Drug Court Grantee Data Collection Survey on a semiannual basis. The survey periods run January 1–June 30 and July 1–December 31. The surveys are due 60 days after the end of the report period, that is, no later than August 31 and February 28, respectively. These data will capture baseline information on both drug courts and defendants.
4. **Single Audit Report:** Recipients who expend \$300,000 or more of federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report is currently due to the cognizant federal agency or oversight agency not later than 13 months after the end of the recipient's fiscal year. For fiscal years beginning on or after July 1, 1998, the audit report will be due 9 months after the end of the recipient's fiscal year.



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
DRUG COURTS PROGRAM OFFICE  
WASHINGTON, D.C. 20531

## DRUG COURT GRANTEE DATA COLLECTION SURVEY

**DIRECTIONS:** As a Drug Courts Program Office discretionary grantee, you are required to complete this survey. This form must be completed on a semiannual basis and submitted with your progress reports due at the end of January and July of each year. Complete Section I and update only as necessary. Update Section II at the end of January and July each year. If a grant is for multiple jurisdictions, each jurisdiction must complete the survey individually.

### I. BASELINE INFORMATION

#### A. GENERAL INFORMATION

1. NAME (Person completing form)	7. TYPE OF DRUG COURT GRANT  <input type="checkbox"/> Single Jurisdiction Implementation <input type="checkbox"/> Single Jurisdiction Enhancement <input type="checkbox"/> Multi-Jurisdictional Implementation <input type="checkbox"/> Multi-Jurisdictional Enhancement
2. TITLE	
3. ADDRESS	8. GRANT AWARD PERIOD _____ to _____
	9. DATE DRUG COURT PROGRAM STARTED
	10. DATE STARTED WITH DCPO FUNDING (if different)
	11. AMOUNT OF GRANT AWARD
4. TELEPHONE	12. NAMES AND POSITIONS OF KEY PERSONNEL
5. FAX	
6. E-MAIL	
13. SIZE OF JURISDICTION: (Population of county or city served by court)	

#### B. DRUG COURT INFORMATION

14. TYPE OF DRUG COURT (Check all that apply)	15. IN GENERAL, WHICH APPROACH DOES THE DRUG COURT FOLLOW? (Check one)
<input type="checkbox"/> Adult <input type="checkbox"/> Juvenile <input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor	<input type="checkbox"/> Deferred Prosecution: Adjudication is deferred and the defendant is diverted to the treatment program after being charged. <input type="checkbox"/> Postadjudication: Adjudication occurs, but the sentence is deferred or pronounced and the defendant enters the treatment program. <input type="checkbox"/> Other (Specify)

16. WHO IS ELIGIBLE TO PARTICIPATE IN THE DRUG COURT PROGRAM? (Check all that apply)

- ☐ Adult male
- ☐ Adult female
- ☐ Juveniles
- ☐ Nonviolent offenders
- ☐ Violent offenders (Past or present)
- ☐ Offenders with substance (i.e. controlled or other addictive substances) addiction
- ☐ Offenders without substance addiction
- ☐ First-time offenders
- ☐ Repeat offenders
- ☐ Probation violators

17. WHAT IS THE LENGTH OF THE PROGRAM?

Number of months \_\_\_\_\_

If actual average length to graduate is different, indicate (number of months)

\_\_\_\_\_

18. DOES THE DRUG COURT HAVE PHASES? (If yes, how many and how long are the phases?)

☐ No ☐ Yes

Phase	How Long
_____	_____
_____	_____
_____	_____
_____	_____

19. WHAT SERVICES ARE AVAILABLE TO DRUG COURT PARTICIPANTS (Check all)

- ☐ Detox
- ☐ Day reporting center
- ☐ Outpatient
- ☐ Inpatient
- ☐ Academic/training schools
- ☐ Job training
- ☐ Employment services
- ☐ Parenting classes
- ☐ Child care
- ☐ Family therapy/ services
- ☐ Mental health
- ☐ Individual counseling
- ☐ Group counseling
- ☐ Primary health care
- ☐ Housing

20. ARE THE FOLLOWING GRADUATION REQUIREMENTS? (If yes, provide the time period)

Number of months drug free \_\_\_\_\_

Number of months without rearrests \_\_\_\_\_

Number of months employed \_\_\_\_\_

Other (Specify) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

21. SINCE THE PROGRAM BEGAN, WHAT IS THE TOTAL AMOUNT OF FUNDING FOR EACH OF THE FOLLOWING TYPES THAT THE PROGRAM HAS RECEIVED? (Check all sources that apply and enter amount of funding.)

a. FEDERAL GOVERNMENT:

- ☐ Violent Crime Control Act of 1997 (Drug Courts Program Office) \$ \_\_\_\_\_
- ☐ Local Law Enforcement Block Grant \$ \_\_\_\_\_
- ☐ Edward Byrne Memorial Grant \$ \_\_\_\_\_
- ☐ Comprehensive Communities Grant \$ \_\_\_\_\_
- ☐ Corrections Options Grant \$ \_\_\_\_\_
- ☐ Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance \$ \_\_\_\_\_
- ☐ CSAT Criminal Justice Treatment Networks \$ \_\_\_\_\_
- ☐ CSAT Target Cities \$ \_\_\_\_\_
- ☐ Medicaid \$ \_\_\_\_\_
- ☐ Other federal government (Please specify) \$ \_\_\_\_\_
- ☐ \$ \_\_\_\_\_
- ☐ \$ \_\_\_\_\_
- b. ☐ State government \$ \_\_\_\_\_
- c. ☐ Local government \$ \_\_\_\_\_
- d. ☐ Private (Grants/donations from foundations, businesses, charitable organizations) \$ \_\_\_\_\_
- e. ☐ Participant fees \$ \_\_\_\_\_

22. WHICH OF THE FOLLOWING STATEMENTS BEST DESCRIBES ANY FEES CHARGED TO PARTICIPANTS (By the court or by any contractors providing services), EITHER CURRENTLY OR IN THE PAST? (Fees would include those paid by the participant, by personal insurance or by Medicaid)

- ☐ Participant fees are charged currently. (Continue with Question 23)
- ☐ Participant fees were charged previously, but are not currently. (Continue with Question 23)
- ☐ Participant fees have never been charged. (Skip to question 24)

<p><b>23. WHAT IS/WAS THE PURPOSE AND AMOUNT OF EACH FEE CHARGED TO PARTICIPANTS?</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; width: 60%;">Description/purpose of fee</th> <th style="text-align: left; width: 40%;">Amount of fee</th> </tr> </thead> <tbody> <tr> <td>_____</td> <td>\$ _____</td> </tr> <tr> <td>_____</td> <td>\$ _____</td> </tr> <tr> <td>_____</td> <td>\$ _____</td> </tr> <tr> <td>_____</td> <td>\$ _____</td> </tr> </tbody> </table>	Description/purpose of fee	Amount of fee	_____	\$ _____	_____	\$ _____	_____	\$ _____	_____	\$ _____	<p><b>24. HOW IS DRUG COURT DATA GATHERED AND COMPILED?</b></p> <p><input type="checkbox"/> Manually</p> <p><input type="checkbox"/> Automated</p> <p><input type="checkbox"/> Both</p>
Description/purpose of fee	Amount of fee										
_____	\$ _____										
_____	\$ _____										
_____	\$ _____										
_____	\$ _____										

## II. DRUG COURT PARTICIPANT/PROGRAM INFORMATION

<p><b>25. NUMBER OF PARTICIPANTS</b></p> <p>From start of program _____</p> <p>From start of grant _____</p>	<p><b>26. FROM THE TIME THE PROGRAM BECAME OPERATIONAL TO THE PRESENT AND FROM THE BEGINNING OF THE GRANT TO THE PRESENT, HOW MANY PEOPLE:</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 20%; text-align: center;">Number of persons since: program start</th> <th style="width: 20%; text-align: center;">grant start</th> </tr> </thead> <tbody> <tr> <td>a. Have been admitted to the drug court program?</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>b. Have completed the program?</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>c. Have failed to complete the program because they:</td> <td></td> <td></td> </tr> <tr> <td>    (1.) Have been terminated?</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>    (2.) Have voluntarily withdrawn?</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>    (3.) Have died while in the program?</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>		Number of persons since: program start	grant start	a. Have been admitted to the drug court program?	_____	_____	b. Have completed the program?	_____	_____	c. Have failed to complete the program because they:			(1.) Have been terminated?	_____	_____	(2.) Have voluntarily withdrawn?	_____	_____	(3.) Have died while in the program?	_____	_____																																	
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(3.) Have died while in the program?	_____	_____																																																					
<p><b>26. TOTAL CAPACITY</b></p> <p>_____</p>																																																							
<p><b>27. NUMBER OF GRADUATES FROM THE DRUG COURT PROGRAM</b></p> <p>From start of program _____</p> <p>From start of grant _____</p>																																																							
<p><b>28. PROVIDE THE FOLLOWING DEMOGRAPHIC INFORMATION ABOUT PARTICIPANTS IN THE PROGRAM SINCE THE BEGINNING OF THE GRANT AND (if available) SINCE THE BEGINNING OF THE PROGRAM:</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 20%; text-align: center;">Number of persons since: program start</th> <th style="width: 20%; text-align: center;">grant start</th> </tr> </thead> <tbody> <tr><td>Age 12-16</td><td>_____</td><td>_____</td></tr> <tr><td>Age 17-18</td><td>_____</td><td>_____</td></tr> <tr><td>Age 19-21</td><td>_____</td><td>_____</td></tr> <tr><td>Age 22-30</td><td>_____</td><td>_____</td></tr> <tr><td>Age 30-40</td><td>_____</td><td>_____</td></tr> <tr><td>Age 41 or over</td><td>_____</td><td>_____</td></tr> <tr><td>Number of men</td><td>_____</td><td>_____</td></tr> <tr><td>Number of women</td><td>_____</td><td>_____</td></tr> <tr><td>Number of drug-free babies</td><td>_____</td><td>_____</td></tr> </tbody> </table>		Number of persons since: program start	grant start	Age 12-16	_____	_____	Age 17-18	_____	_____	Age 19-21	_____	_____	Age 22-30	_____	_____	Age 30-40	_____	_____	Age 41 or over	_____	_____	Number of men	_____	_____	Number of women	_____	_____	Number of drug-free babies	_____	_____	<p><b>29. NUMBER OF PARTICIPANTS OF THE FOLLOWING RACIAL OR ETHNIC DESCENT:</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 20%; text-align: center;">Number of persons since: program start</th> <th style="width: 20%; text-align: center;">grant start</th> </tr> </thead> <tbody> <tr><td>African American</td><td>_____</td><td>_____</td></tr> <tr><td>Hispanic/Latino</td><td>_____</td><td>_____</td></tr> <tr><td>Asian/Pacific Islander</td><td>_____</td><td>_____</td></tr> <tr><td>Native American</td><td>_____</td><td>_____</td></tr> <tr><td>Alaskan Native</td><td>_____</td><td>_____</td></tr> <tr><td>Caucasian</td><td>_____</td><td>_____</td></tr> <tr><td>Other</td><td>_____</td><td>_____</td></tr> </tbody> </table>		Number of persons since: program start	grant start	African American	_____	_____	Hispanic/Latino	_____	_____	Asian/Pacific Islander	_____	_____	Native American	_____	_____	Alaskan Native	_____	_____	Caucasian	_____	_____	Other	_____	_____
	Number of persons since: program start	grant start																																																					
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Native American	_____	_____																																																					
Alaskan Native	_____	_____																																																					
Caucasian	_____	_____																																																					
Other	_____	_____																																																					

(continued from previous page)

<p>31. HOW LONG DO YOU PLAN TO FOLLOW UP ON THE PROGRESS OF DRUG COURT PARTICIPANTS AFTER GRADUATION?</p> <p>6 months _____</p> <p>12 months _____</p> <p>18 months _____</p>	<p>37. NUMBER OF PARTICIPANTS ARRESTED OR CONVICTED AFTER GRADUATION:</p> <p style="text-align: center;">0-6 months after graduation:</p> <table style="width: 100%;"> <tr> <th></th> <th style="text-align: center;">program start</th> <th style="text-align: center;">grant start</th> </tr> <tr> <td>Nonviolent drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Nonviolent non-drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent non-drug crime</td> <td>_____</td> <td>_____</td> </tr> </table> <p style="text-align: center;">7-12 months after graduation:</p> <table style="width: 100%;"> <tr> <th></th> <th style="text-align: center;">program start</th> <th style="text-align: center;">grant start</th> </tr> <tr> <td>Nonviolent drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Nonviolent non-drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent non-drug crime</td> <td>_____</td> <td>_____</td> </tr> </table> <p style="text-align: center;">13-18 months after graduation:</p> <table style="width: 100%;"> <tr> <th></th> <th style="text-align: center;">program start</th> <th style="text-align: center;">grant start</th> </tr> <tr> <td>Nonviolent drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Nonviolent non-drug crime</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent non-drug crime</td> <td>_____</td> <td>_____</td> </tr> </table>		program start	grant start	Nonviolent drug crime	_____	_____	Violent drug crime	_____	_____	Nonviolent non-drug crime	_____	_____	Violent non-drug crime	_____	_____		program start	grant start	Nonviolent drug crime	_____	_____	Violent drug crime	_____	_____	Nonviolent non-drug crime	_____	_____	Violent non-drug crime	_____	_____		program start	grant start	Nonviolent drug crime	_____	_____	Violent drug crime	_____	_____	Nonviolent non-drug crime	_____	_____	Violent non-drug crime	_____	_____
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From start of grant	_____	_____																																												
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<p>Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice, 810 7th Street, NW, Washington, D.C. 20531; and to Public Use Reports Project, 1121-0190, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.</p>																																														



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## Appendix D

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### Process Evaluations and Management Information Systems

Recipients of Implementation grants are required to conduct a process evaluation of their drug court program. The process evaluation should be designed to assess the program's effectiveness in meeting its operational and administrative goals. Ideally, process evaluations should be conducted by an independent researcher, working in close collaboration with drug court program staff.

Process evaluations should document not only the history of program development and implementation, but also the specific elements of the program. A process evaluation supplements good internal management and monitoring, providing an independent and objective appraisal of operational performance. A good process evaluation will target problematic program areas and provide recommendations for improvement. Ideally, the following information should be collected and analyzed as part of a process evaluation:

**Target population:** What is the drug court's target population? To what extent is that population being reached, as evidenced by relevant characteristics of the drug court participants (e.g., current charge, prior record, nature and severity of substance abuse problem, race, age, and gender)? How do drug court participants compare to defendants not in drug court with respect to these characteristics?

**Screening and assessment:** What are the intake and assessment procedures? What screening and assessment instruments are used to identify offenders who are appropriate for the drug court program? (e.g., Addiction Severity Index, Michigan Alcoholism Screening Test)

**Case processing:** At what point in the criminal justice process does the program intervene? (e.g., pretrial, postconviction)

**Program length:** How long is the program? Is it possible to complete early? What is the average length of stay in the program?

**Urinalysis testing:** Who conducts urinalysis testing? How frequently are participants tested for specific types of drugs? Is the drug testing done randomly? Are drug tests observed?

**Treatment resources:** What treatment services are provided? Who provides the treatment? What specific treatment modalities are used? To what extent, and under what circumstances, does the drug court use residential treatment services? Are there any other service interventions provided? (e.g., therapeutic community type, initial detoxification phase) Are culture- or gender- specific groups used? Is aftercare provided? What does it consist of?

**Ancillary services:** What ancillary services are provide? Who coordinates the referral of services?

**Sanctions and incentives:** What behavior is sanctioned in the program? What sanctions are used? What behavior is rewarded in the program? What incentives are used?

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Judicial supervision: How often do defendants appear before the judge? What team members are involved in the status hearings? Are staffings held prior to court? What information is routinely available to the judges and other team members? In what format?

Expulsion: What is the expulsion criteria? What happens to defendants that fail the program?

Graduation: How does a defendant graduate from the program? Are charges dismissed upon graduation?

Drug court team and program coordination: Who comprises the drug court team? What are the roles and responsibilities of the team members (e.g., judge, prosecutor, defense attorney, treatment provider) in the drug court? What other agencies are linked to or involved with the drug court (e.g., pretrial services, probation, community mental health)? Who is in charge of coordinating all the agencies?

Retention in program: To what extent is the drug court successful in retaining participants in the program (and in treatment), as evidenced by the number of persons (a) accepted into the program; (b) graduated; (c) currently active (and length of time in program); and (d) terminated?

Impact on criminal behavior: To what extent have program participants been arrested on new charges while they are active in the program? When participants have been arrested, what are the types of charges (e.g., drug possession, traffic infraction, violent offense)? How many arrests (and on what types of charges) have occurred after graduation? To what extent have drug court participants remained arrest-free after their admission to the program?

Impact on substance abusing behavior: What do drug test results show concerning the use of drugs by program participants during different phases of the program? Do the data show trends that evidence progress by participants in overcoming their dependence on drugs?

Impact on participants' life circumstances: To what extent has the program succeeded in enhancing participants' capacity to function in the community? Enhancing their educational levels? Job skills? Actual employment? Physical health? To what extent have program participants been able to be reunited with families from whom they had been separated because of their drug problems? How many drug-free babies have been born to program participants?

Implementation: Were all program components implemented as intended? If not, why? Have any changes been made to the program from the initial design? Is the program reaching the goals and objectives set forth initially? Have new goals and objectives been added? Are there areas of the program that appear problematic? Do team members have concerns about the program? What are some recommendations to improve problematic areas?

To answer these types of questions, drug courts must maintain or have ready access to a considerable amount of information about individuals *and* must be able to aggregate relevant data in appropriate categories at reasonably frequent intervals. The information needed for monitoring and evaluation purposes should be obtainable from the records used in the program's day-to-day operations, including records of screening activities, assessments, drug court dockets, treatment progress reports, drug test results, and criminal history "rap sheets." Optimally, program managers should be able to review reports that aggregate and present this type of information in easy-to-read report formats at least once a month. They should also be able to generate ad hoc reports that provide relevant information on all of the topics listed above and many others as well.



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## Management Information Systems to Aid in the Collection of Evaluation Data

Applicants are strongly encouraged to design, implement, and maintain an automated data collection system for use in collecting program implementation data, process information, and baseline data that can be used to chart the progress and impact of the funded program. The application should detail specific data elements to be included in the automated data collection system and outline procedures to collect this information, including specific budgetary information and personnel. Following is a list of the minimum types of information which drug court information systems should routinely collect:

- Number of persons found eligible for the program
- Number of persons admitted to the program
- Number of eligible persons who were not admitted to the program (Note: if at all possible, the reasons for non-admission should be obtained and demographic, case, and criminal history information should be collected for these persons, for comparison purposes)
- Characteristics of persons admitted to the program:
  - Date of arrest
  - Date of admission to the drug court program
  - Age
  - Sex
  - Race/ethnicity
  - Family status
  - Employment status
  - Educational level
  - Current charge(s)
  - Criminal justice history
  - Drug use history
  - Alcohol and other drug treatment history
  - Mental health treatment history
  - Medical needs (including detoxification)
  - Nature and severity of substance abuse problem
- Treatment recommendations (from initial assessment and any follow-up assessments) and record of treatment regimen followed by each participant
- Number of participants currently active in the program, with appropriate categorization to reflect the number of persons in specific program phases, duration of time in program, principal types of treatment being provided, etc.
- Number and characteristics of persons who successfully complete the program
- Number and characteristics of persons who have been terminated from the program, reasons for termination, and length of time in the program before termination
- Criminal justice sanctions imposed on non-completers
- Number of participants who fail to appear at drug court hearings and number of bench warrants issued for participants, by stage of participation in the program.
- Rearrest during involvement in the drug court program and for a period of at least one year thereafter, and the types of arrests (e.g., drug possession, other nonviolent offense, violent offense)
- Fees, fines, costs, and restitution paid by each participant
- Community service hours provided by each participant
- Drug test histories of each participant while in the drug court program

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- Record of attendance and treatment progress for each participant
  - Record of program sanctions imposed on each participant in response to positive drug test or other evidence of noncompliance with program requirements
  - Principal accomplishments of each participant while in the program (e.g., advancement to new phase, attainment of GED or other educational objective, employment, family reunification, birth of drug-free baby)
  - Costs of drug court operations, and the source(s) of funding for each operational component

For further information please refer to the OJP publication “Drug Court Monitoring, Evaluation, and Management Information Systems.” The report is available through the Internet ([www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo)) and the National Criminal Justice Reference Service at 1-800-851-3420 (publication #NCJ171138).

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## Appendix E

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### Drug Court Budgets: Allowable and Unallowable Costs

#### ALLOWABLE COSTS

##### A. Personnel

Only personnel who work directly for the grantee should be included in this section. All other personnel should appear under the contractual category. (For example: If the court is the grantee, the drug court coordinator should be included in personnel but the counselors for the treatment provider should be included in the contracts section.)

Generally, the following personnel are not paid with federal funds:

- Judge
- Prosecutor
- Defense attorney
- Court administrator

Federal funds may be requested *only* to support new positions dedicated to the drug court, and generally include:

- Case managers
- Drug court coordinators
- Administrative support
- Counselors
- Probation officers

All personnel must include: annual salary; either the percentage of time on the project or full-time equivalent (FTE) (1 FTE = 100 percent); the duration of the grant period.

Example:

Name and Position	Computation	Cost
Jane Doe, Case Manager	100% time × \$20,000 annual salary × 1 year	\$20,000

##### B. Fringe Benefits

The total percentage of the fringe benefit rate must be shown, as well as the breakdown of that percentage.

Example:

Name and Position	Computation	Cost
Jane Doe, Case Manager	27.85% fringe benefit rate × \$20,000 annual salary × 1 year	\$5,570

(Fringe Benefit Rate: FICA=6.2%; Medicare=1.45%; Unemployment=0.2%; Health Insurance=20%; Total=27.85%)

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### C. Travel

Must include travel for at least five people (judge, prosecutor, defense attorney, treatment representative, coordinator/court administrator) and up to eight (evaluator, case manager, probation officer, etc.) to at least one technical assistance workshop or conference on or related to drug courts.

We encourage using DCPO funds for the team to travel to other drug courts, even if the court has been operational for a few years. Learning through direct observation and through practitioner-to-practitioner dialogue are critical to the drug court field. All nonrequired travel must be pre-approved by the program manager.

In addition, we encourage grantees to use DCPO funds to send a team to attend the annual drug court conference sponsored by the National Association of Drug Court Professionals. This is an excellent opportunity to learn new techniques and network with other drug court practitioners.

Grantees must follow their local travel regulations. If the amounts exceed the federal amount, then the OJP's Office of the Comptroller must determine if the amounts are reasonable. If grantees do not have local travel regulations, they must follow federal regulations.

Funds in this category must be broken down. When locations of workshops and/or conferences are not known, applicants are asked to estimate travel costs. We recommend they budget up to \$1,000 per person to attend.

Example:

Purpose of Travel	Location	Item	Computation	Cost
Training workshop	Unknown	Airfare:	\$600 x 6 people =	\$3,600
		Hotel:	\$100/night x 6 people x 3 nights =	\$1,800
		Meals:	\$40/day x 6 people x 4 days =	\$960
		Ground transportation	\$20 x 6 people =	\$120

### D. Equipment

Nonexpendable items.

Federal funds may be used to purchase equipment when current equipment either does not exist or is unable to perform the necessary tasks required in the operation of the drug court. Examine carefully to ensure that there is a need and not just a desire to get the newest technology and that equipment is for drug court personnel only. Please ensure that this is the case with your grantees.

Equipment must be used for drug court purposes 100 percent of the time.

It is sometimes difficult to break down equipment costs, but this should be done as much as possible.

Example:

Item	Computation	Cost
3-486 Computers w/CD ROM	\$2,000 x 3	\$6,000

The computer will be used by the investigators to analyze case and intelligence information.

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## E. Supplies

It is important to distinguish between supplies and equipment. The rule of thumb is that supplies are expendable. Examples of expendable supplies include office supplies and drug tests.

Example:

Supply Item	Computation	Cost
Instant Urine Drug Test Kits	\$330/box × 3 boxes per year × 1 year	\$990
Office Supplies (pens, copy paper, staples, tape, print cartridges, desk calendars, binders)	\$200/month × 12 months	\$2,400

## F. Construction

Construction is not allowable.

Minor renovations are allowable. The DCPO director must approve all renovations.

## G. Consultants and Contracts

Generally, this category includes costs for treatment, collateral services, and evaluation activities.

Consultant fees in excess of \$450 per day require additional justification and approval by the OJP's Office of the Comptroller.

Grantees always should follow local guidelines for sole source procurement. Contracts over \$100,000 (regardless of whether they are federal or match funds) require a sole source justification.

Example:

Name of Consultant	Service Provided	Computation	Cost
John Doe, Ph.D.	Process evaluation		
Public Health Lab	Urine screens	100 screens/month \$5.00/each x 1 year	\$6,000

## H. Other Costs

This category may include rent, telephone costs, and anything else that does not fall under supplies or equipment.

Example:

Description	Computation	Cost
Telephone service	\$260/month x 1 year	\$3,120
Technical Assistance	\$1,000 x 1 year	\$1,000

## I. Indirect Costs

The grantee must have an approved federal indirect cost rate. The indirect cost rate is issued by the grantee's cognizant agency. If OJP is the cognizant agency, the Office of the Comptroller will negotiate an indirect cost rate with the grantee.

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## J. Budget Summary

The federal, match, and total amount must be shown for each category.

IMPORTANT—Check all calculations and totals before sending the budget to the Office of the Comptroller.

Example:

Category	Federal	Local	Total
A. Personnel			
B. Fringe Benefits			
C. Travel			
D. Equipment			
E. Supplies			
F. Construction			
G. Consultants			
H. Other			
Total Direct Costs			
I. Indirect Costs			
TOTAL PROJECT COSTS			

Federal Request

Non-Federal Amount

## UNALLOWABLE COSTS

The OJP/DCPO director makes all final determinations about what the grant will or will not fund. Generally, the following are unallowable:

- firearms
- food
- grant-writing expenses
- drug dogs
- law enforcement equipment (body armor, handcuffs, billy clubs, pepper spray, etc.)
- electronic monitoring

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## Appendix F

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### Comprehensive Care Continuum

The model comprehensive treatment continuum is described below. Most, if not all, of these components are appropriate for members of every target population. However, not all services and interventions are needed by every individual in treatment or recovery.

This continuum is not specific to treatment philosophy, modality, or setting. It is a generic framework within which applicants can conceptualize a comprehensive service delivery plan.

Methods of implementing the components of this continuum, the staff that delivers each service, and the manner and setting in which different services are delivered should be based upon the unique needs of the target population; the extent to which there are addiction treatment, health care, human services, housing, and labor training alternatives elsewhere in the jurisdiction of authority; and the extent of available resources. The array of services described below need not be provided by a single treatment entity but can be provided by a consortium of addiction treatment providers, health and human services providers, and criminal justice supervision agencies linked via coordinated case management.

An effective service delivery plan must include the following components:

#### Program Management, Structure, and Staff

- Clear program vision, philosophy, and mission statements, coupled with a strategic plan for achieving identifiable objectives (e.g., increase to 80 percent the number of clients who complete treatment; reduce rearrest rates by 60 percent for all program participants who complete treatment).
- Ability to conduct comprehensive assessments at intake, to track client progress via documented case-finding methods and evaluation tools, to maintain process-tracking capability, and to conduct outcome evaluations (during and after treatment) for all program participants.
- Multidisciplinary staff capable of ensuring that programming is delivered in a clinically appropriate and culturally competent manner.
- Staff-training and cross-training capability covering issues pertinent to effective treatment, including cross training of administrative, security, and treatment staff; gender sensitivity (sexuality, abuse); age-specific interventions; cultural competency; pharmacologic interventions; infectious disease transmission; dissemination of the latest research findings; HIV/AIDS counseling (coping skills, risk reduction, partner notification); dealing with psychopathology; and cognitive training for offenders.

#### Screening, Intake, and Monitoring

- Intake and assessment protocol that consists of the following: medical exam; alcohol and drug use history; psychosocial evaluation; where indicated, psychiatric assessment that is appropriate for evaluating all clients with respect to drug use, alcohol use, and degree of psychopathology; assessment of physical health; extent of cognitive or other impairments; employment history and capability; social history and status (e.g., family of origin, sociocultural background, exposure to abuse or violence); educational status; and history of involvement in the criminal or juvenile justice systems.

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- Screening for infectious diseases, including HIV/AIDS (to include pre- and post-test counseling), tuberculosis, sexually transmitted diseases, hepatitis B, and others, as appropriate.
  - Health education, including safe sex and risk-reduction techniques to mitigate the spread of HIV and other sexually transmitted diseases.
  - Initial urine screening for the presence of prevalent drugs (licit or illicit) and a system of randomized (at least weekly), monitored urine testing for all treated inmates.
  - Referral of clients to treatment and recovery settings and modalities that are best suited to meet their needs (client-treatment matching).
  - Case management (timely treatment plan development, treatment record maintenance and patient monitoring, integration of treatment services into supervised programming, and continuation of recovery support services in community-based settings with continual case supervision throughout).

## **Timing and Duration of Treatment and Recovery Services**

- Same-day intake services and, whenever possible, individuals requesting intervention should be admitted to a treatment unit on the same day.
- Treatment and recovery services should be provided in the context of a sustained continuum that begins during detention or incarceration and is continued in the community of residence during parole and/or release from the facility.

## **Treatment and Recovery Services**

- Special focus groups (peer-based and professionally monitored), general peer and support groups, cognitive group therapy, and counseling for HIV-positive clients and victims of sexual abuse.
- Special treatment programming designed to address anger management, violence prevention, victimization issues, and values formation.
- Preventive and primary medical care as required by the client mix, including gynecologic and obstetric or reproductive health, pre- and postnatal care, and pediatric care.
- Psychiatric assessments, followed by provision of specialized therapy to address indicated psychopathology, appropriate pharmacologic interventions, and monitoring, provided by practitioners recognized by appropriate state or local authorities (e.g., appropriately credentialed psychiatrists, psychologists, psychiatric nurses).
- Psychological counseling (when indicated) by persons recognized by state and local authorities as qualified to provide the indicated form of therapy.
- Strategies to involve family members and significant others in the treatment process and provision of family and collateral counseling, as appropriate, provided by persons recognized by state and local authorities to provide such counseling.
- Use of peers as mentors and sponsors, strong linkages with self-help groups such as Alcoholics Anonymous, Narcotics Anonymous, and Cocaine Anonymous.



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- Gender-specific, age-specific, and culturally relevant strategies (e.g., staff recruitment and retention, unique treatment-setting attributes, appropriate literature, and audiovisual materials, and social activities) to keep clients actively engaged in the treatment process.
  - Parenting skills development for both fathers and mothers, including infant and childhood development courses to enhance parental functioning.
  - Nutritional and general health education by a qualified technician.
  - Skill development components that emphasize daily life skills, how to make use of available community resources, and maintaining a drug- and crime-free lifestyle in a community context.
  - Child care provision at the treatment facility (where appropriate for custodial parent residents).
  - Recreational and social activities.
  - Transportation (on- or offsite for specialized services or employment, as appropriate).
  - Intensive supervision through probation, parole, community supervision, juvenile supervision, or other supervision agencies (e.g., Treatment Alternatives to Street Crime).
  - Sustained continuity of treatment, recovery, and support services after release, including frequent interaction with a mentor, primary counselor, or case manager, as appropriate; intensive interventions as needed (e.g., in the event of trauma such as death or divorce); participation in ongoing, peer-based support programs; and drug-free cooperative living arrangements.
  - Coordination of the treatment and recovery continuum with other germane services, such as vocational rehabilitation, education, legal aid, and transportation.

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## Resources

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### **A: Bureau of Justice Assistance**

**Edward Byrne Memorial State and Local Law Enforcement Assistance  
Fact Sheet**

**FY 1998 Local Law Enforcement Block Grants Program Fact Sheet**

**State Offices Administering the Edward Byrne Memorial State and  
Local Law Enforcement Program**



# BJA Bureau of Justice Assistance Fact Sheet

Nancy E. Gist, Director

## Edward Byrne Memorial State and Local Law Enforcement Assistance

### Fiscal Year 1998

Through the Edward Byrne Memorial State and Local Law Enforcement Assistance Program (the Byrne Program), the Bureau of Justice Assistance (BJA) provides leadership and guidance on crime and violence prevention and control and works in partnership with State and local governments to make communities safe and improve criminal justice systems. BJA develops and tests new approaches in criminal justice and crime control and encourages replication of effective programs and practices by State and local criminal justice agencies. The Byrne Program, created by the Anti-Drug Abuse Act of 1988 (Public Law 100-690), emphasizes controlling violent and drug-related crime and serious offenders and fosters multijurisdictional and multi-State efforts to support national drug-control priorities.

BJA makes Byrne Program funds available through two types of grant programs: discretionary and formula. Discretionary funds are awarded directly to public and private agencies and private nonprofit organizations; formula funds are awarded to the States, which then make subawards to State and local units of government.

### Discretionary Grant Program

**Program purposes.** The Byrne Discretionary Grant Program focuses on the following crime and violence prevention and control activities:

- ☐ Undertaking educational and training programs for criminal justice personnel.
- ☐ Providing technical assistance to State and local units of government.

- ☐ Promoting projects that are national or multijurisdictional in scope.
- ☐ Demonstrating programs that, in view of previous research or experience, are likely to be successful in more than one jurisdiction.

**Funding.** In fiscal year (FY) 1998, \$46.5 million was appropriated for the Byrne Discretionary Grant Program.

**Eligibility.** Public and private agencies and private nonprofit organizations are generally eligible to apply for and receive funds under this program.

**Matching requirements.** Grants and contracts may be awarded for up to 100 percent of the cost of an approved project. The Federal share for subsequent awards of projects funded after FY 1994 will decrease by at least 25 percent. This policy reflects BJA's intent to promote leveraging of State, local, and private resources and to emphasize the need for early sustainment planning.

**Program priorities.** During FY 1998, BJA will focus on programs that implement comprehensive approaches to crime; stimulate partnerships among public agencies, private organizations, and communities; and address unmet needs in the delivery of criminal justice services. Most funds appropriated for discretionary grants will be awarded to continue initiatives started in previous fiscal years or to support those efforts designated by Congress.

BJA is seeking new initiatives through several competitive programs. An open solicitation has been announced to request the submission of innovative concepts and practices in issues related to community justice, law enforcement, adjudication, rural communities, indigent defense, and nontraditional uses of resources to

enhance public safety. State and local governments will be encouraged to submit concept papers on individual topics within these general areas. A second, more limited solicitation seeks applications to strengthen State and local evaluation efforts through partnerships among State administrative agencies. Panels of experts will review concept papers or applications for each competitive program. Funding decisions will be made by the Director of BJA.

## Formula Grant Program

**Program purposes.** The Byrne Formula Grant Program is a partnership among Federal, State, and local governments to create safer communities and improved criminal justice systems. BJA is authorized to award grants to States for use by States and units of local government to improve the functioning of the criminal justice system, with emphasis on violent crime and serious offenders, and to enforce State and local laws that establish offenses similar to those in the Federal Controlled Substances Act. Grants may be used to provide personnel, equipment, training, technical assistance, and information systems for more widespread apprehension, prosecution, adjudication, detention, and rehabilitation of offenders who violate such State and local laws. Grants also may be used to provide assistance (other than compensation) to victims of these offenders. There are 26 legislatively authorized purpose areas (outlined in the next section) for which formula grant assistance may be provided.

**Funding.** In FY 1998, \$505 million was appropriated for the Byrne Formula Grant Program. From this allocation, each State receives a base amount of 0.25 percent of the total allocation. Remaining funds are allocated according to each State's relative share of the U.S. population. (See "Formula Grant Program Allocation of Funds.") In addition, Congress has added \$25 million to fund State programs related to the President's Federal drug-testing initiative. Although not mandated to do so, States are strongly encouraged to consider using Byrne Program funds for programs that support this initiative.

**Eligibility.** The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible to apply for formula grant funds. For the purposes of this program, references to "State" include all of these eligible entities.

**State office.** The chief executive of each participating State designates a State office to administer the State's Byrne Program and to coordinate the distribution of

funds with State agencies receiving Federal funds for drug abuse education, prevention, treatment, and research activities and programs. An office or agency performing other functions within the State's executive branch may be the designated State office.

**Statewide strategy.** Each State is required to develop a statewide strategy to improve its functioning of the criminal justice system, with an emphasis on drug trafficking, violent crime, and serious offenders. The strategy should be prepared after consultation with State and local officials, particularly those whose duty it is to enforce drug and criminal laws and to direct the administration of justice, and made available to the public for comment.

**Administrative funds.** Up to 10 percent of formula grant funds allocated to a State may be used to pay for costs incurred in administering the formula grant program.

**Matching requirements.** At least 25 percent of the cost of a program or project funded with a formula grant must be paid in cash with non-Federal funds. These "match" funds must be in addition to funds that would otherwise be made available by the recipient for law enforcement. Match funds are generally provided on a project-by-project basis, although BJA can approve a statewide match option.

**Passthrough.** The minimum passthrough amount for each State is based on the percentage of funds expended for criminal justice purposes by units of local government relative to total State and local criminal justice expenditures in the State. These expenditures must be funded by State and local revenue sources, e.g., taxes, charges and fees, utility revenue, and interest earnings. This requirement applies only to the 50 States. The District of Columbia, because of its designation as a local unit of government, is required to pass through 100 percent. The Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands have no passthrough requirement due to their single-level government structures.

**Funding priority.** In distributing funds, States are to give priority to jurisdictions with the greatest need for assistance with criminal justice programs.

**Congressional mandates.** States are required to comply with the following congressional mandates:

- **Criminal Justice Records Improvement Plan.** States must use at least 5 percent of their formula grant awards for the improvement of criminal justice records.

## Formula Grant Program Allocation of Funds

State	FY 1998 Allocation	Percentage To Be Passed Through to Local Jurisdictions	State	FY 1998 Allocation	Percentage To Be Passed Through to Local Jurisdictions
Alabama	8,160,000	50.95	New Jersey	14,156,000	57.67
Alaska	2,242,000	21.97	New Mexico	4,028,000	42.23
Arizona	8,410,000	61.04	New York	30,614,000	63.29
Arkansas	5,313,000	54.87	North Carolina	13,082,000	41.36
California	52,716,000	63.15	North Dakota	2,301,000	56.16
Colorado	7,433,000	58.82	Ohio	19,296,000	64.42
Connecticut	6,547,000	36.96	Oklahoma	6,590,000	45.41
Delaware	2,432,000	26.87	Oregon	6,434,000	46.98
District of Columbia	2,139,000	100.00	Pennsylvania	20,722,000	64.83
Florida	24,505,000	61.56	Rhode Island	2,861,000	41.76
Georgia	13,131,000	53.39	South Carolina	7,233,000	42.53
Hawaii	3,173,000	46.45	South Dakota	2,445,000	47.16
Idaho	3,182,000	52.41	Tennessee	9,849,000	48.78
Illinois	20,384,000	64.51	Texas	32,137,000	65.60
Indiana	10,690,000	56.78	Utah	4,491,000	49.76
Iowa	5,865,000	40.79	Vermont	2,213,000	25.11
Kansas	5,414,000	47.49	Virginia	12,037,000	30.04
Kentucky	7,531,000	32.30	Washington	10,193,000	60.25
Louisiana	8,285,000	51.92	West Virginia	4,209,000	47.93
Maine	3,269,000	41.59	Wisconsin	9,591,000	61.98
Maryland	9,448,000	44.47	Wyoming	2,040,000	54.95
Massachusetts	11,096,000	36.64	Puerto Rico	7,368,000	0
Michigan	16,748,000	53.10	Virgin Islands	1,427,000	0
Minnesota	8,780,000	70.29	Guam	1,477,000	0
Mississippi	5,646,800	52.52	American Samoa/ N. Mariana Islands	1,408,000*	0
Missouri	9,912,000	58.22			
Montana	2,682,000	58.56			
Nebraska	3,929,000	60.36			
Nevada	3,850,000	62.01			
New Hampshire	3,139,000	51.46			

\* American Samoa (67 percent)—\$943,360; N. Mariana Islands (33 percent)—\$464,640.

Note: Figures for populations of States and for Puerto Rico are based on Bureau of Census estimates as of July 1, 1996. Figures for other U.S. territories are based on the 1990 census.

- ❑ **Immigration and Naturalization Plan.** States must develop methods to notify the Immigration and Naturalization Service (INS) of alien convictions and to provide records of those convictions to INS.
- ❑ **Human Immunodeficiency Virus (HIV) Testing.** States must enact and enforce a law that requires sex offenders to be tested for HIV if the victim requests such testing. If a State fails to comply, 10 percent of the State's formula grant will be withheld.
- ❑ **Jacob Wetterling Sexual Offender Registry.** States must establish 10-year registration requirements for persons convicted of certain crimes against minors and sexually violent offenses and a more stringent set of registration requirements for a subclass of highly dangerous sex offenders characterized as "sexually violent predators." If a State fails to comply with these requirements, 10 percent of its formula grant will be withheld.

**Construction.** Grant funds may be used for construction of penal and correctional institutions only. Acquisition of land with grant funds is prohibited.

**Period of project support.** Projects in the aggregate may be funded for a maximum of 4 years (48 months). Grants awarded to State and local governments to participate in multijurisdictional drug or gang task forces and victim assistance programs are excluded from this restriction.

## Legislatively Authorized Byrne Program Purposes

Both discretionary and formula grant funds may be used to implement programs that carry out any of the following 26 legislatively authorized purposes:

1. Demand-reduction education programs in which law enforcement officers participate.
2. Multijurisdictional task force programs to integrate Federal, State, and local drug law enforcement agencies and prosecutors for the purpose of enhancing inter-agency coordination and intelligence and facilitating multijurisdictional investigations.
3. Programs to target the domestic sources of controlled and illegal substances, such as precursor chemicals, diverted pharmaceuticals, clandestine laboratories, and cannabis cultivations.
4. Community and neighborhood programs to assist citizens in preventing and controlling crime, including special programs that address crimes committed against the elderly and special programs in rural jurisdictions.
5. Programs to disrupt illicit commerce in stolen goods and property.
6. Programs to improve the investigation and prosecution of white-collar crime, organized crime, public corruption, and fraud against the Government, with priority attention to cases involving drug-related official corruption.
7. a. Programs to improve the operational effectiveness of law enforcement through the use of crime analysis techniques, street sales enforcement, schoolyard violator programs, and gang-related and low-income housing drug-control programs.
- b. Programs to develop and implement antiterrorism plans for deep-draft ports, international airports, and other important facilities.
8. Career criminal prosecution programs, including the development of model drug-control legislation.
9. Financial investigative programs to identify money laundering operations and assets obtained through illegal drug trafficking, including the development of model legislation, financial investigative training, and financial information-sharing systems.
10. Programs to improve the operational effectiveness of courts by expanding prosecutorial, defender, and judicial resources and implementing court delay-reduction programs.
11. Programs to improve the corrections system and provide additional public correctional resources, including treatment in prisons and jails, intensive supervision programs, and long-range corrections and sentencing strategies.
12. Prison industry projects to place inmates in a realistic working and training environment that enables them to develop marketable skills. With these skills inmates are better able to support their families and themselves in the institution and make financial restitution to their victims.
13. Programs to identify and meet the treatment needs of adult and juvenile drug- and alcohol-dependent offenders.

14. Programs to provide assistance to jurors and witnesses and assistance (other than compensation) to victims of crime.

15. a. Programs to improve drug-control technology, such as pretrial drug-testing programs; to provide for the identification, assessment, referral to treatment, case management, and monitoring of drug-dependent offenders; and to enhance State and local forensic laboratories.

b. Criminal justice information systems (including automated fingerprint identification systems) to assist law enforcement, prosecution, courts, and corrections organizations.

16. Programs to demonstrate innovative approaches to enforcement, prosecution, and adjudication of drug offenses and other serious crimes.

17. Programs to address drug trafficking and the illegal manufacture of controlled substances in public housing.

18. Programs to improve the criminal and juvenile justice system's response to domestic and family violence, including spouse abuse, child abuse, and elder abuse.

19. Programs with which States and local units of government can evaluate State drug-control projects.

20. Programs to provide alternatives to detention, jail, and prison for persons who pose no danger to the community.

21. Programs to strengthen urban enforcement and prosecution efforts targeted at street drug sales.

22. Programs to prosecute driving-while-intoxicated charges and enforce other laws relating to alcohol use and the operation of motor vehicles.

23. Programs to address the need for effective bindover systems for the prosecution of violent 16- and 17-year-old juveniles for [certain enumerated] violent crimes in courts with jurisdiction over adults.

24. Law enforcement and prevention programs for gangs and youth who are involved or are at risk of involvement in gangs.

25. Programs to develop or improve forensic laboratory capability to analyze DNA for identification purposes.

26. Programs to develop and implement antiterrorism training and procure equipment for local law enforcement authorities.

*Note: Congress has authorized the use of Byrne funds to support programs that assist in the litigation of death penalty Federal habeas corpus petitions. This authorization applies only to the current award (FY 1998) and may or may not be available in future funding cycles.*

## Program Evaluation

The Anti-Drug Abuse Act of 1988 mandates that all programs funded under the Byrne Program be evaluated. The goal is to identify and disseminate information about programs of proven effectiveness so that jurisdictions throughout the country can replicate them. In addition, evaluation results guide the formulation of policy and programs within Federal, State, and local criminal justice agencies.

The National Institute of Justice (NIJ) is an active participant in BJA's evaluation program. BJA and NIJ jointly develop evaluation guidelines and conduct comprehensive evaluations of selected programs receiving discretionary and formula grant funds. The Director of NIJ is required to report to the President, Attorney General, and Congress on the nature and findings of Byrne Program evaluation activities.

Formula grant program applicants must include an evaluation component that meets the BJA/NIJ evaluation guidelines. The Director of BJA may waive this requirement under certain circumstances. Each State is required to provide BJA with an annual report that includes a summary of its grant activities and an assessment of the impact of these programs on the needs identified in its statewide strategy. Formula grant funds may be used to pay for evaluation activities.

Applicants for discretionary grant funding also are required to include an evaluation component in their applications and to conduct evaluations according to the procedures and terms established by BJA.

The Director of BJA is required to submit to the Speaker of the House of Representatives and to the President pro tempore of the Senate an annual report on evaluation results of BJA programs and projects and State strategy implementation.

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## For More Information

For additional information on the Bureau of Justice Assistance and its programs, contact the offices listed below. In addition, refer to BJA's *FY 1998 Program Plan* for a summary of all discretionary programs planned for FY 1998. Solicitations for competitive awards, including application instructions, will be issued separately and made available through the BJA home page or the BJA Clearinghouse home page. (See below for World Wide Web addresses.)

### **Bureau of Justice Assistance**

810 Seventh Street NW.

Washington, DC 20531

Phone: 202-307-0635

World Wide Web: <http://www.ojp.usdoj.gov/BJA>

### **Bureau of Justice Assistance Clearinghouse**

P.O. Box 6000

Rockville, MD 20849-6000

Phone: 1-800-688-4252

World Wide Web: <http://www.ncjrs.org>

Clearinghouse staff are available Monday through Friday, 8:30 a.m. to 7 p.m. eastern time. Ask to be placed on the BJA mailing list.

### **Department of Justice Response Center**

Phone: 1-800-421-6770 or 202-307-1480

Response Center staff are available Monday through Friday, 9 a.m. to 5 p.m. eastern time.

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Office of Justice Programs  
Bureau of Justice Assistance

Washington, DC 20531

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Edward Byrne Memorial State and  
Local Law Enforcement Assistance





# BJA Bureau of Justice Assistance Fact Sheet

Nancy E. Gist, Director

## FY 1998 Local Law Enforcement Block Grants Program

The Fiscal Year (FY) 1998 Appropriations Act, Public Law 105-119, provides \$523 million for the continuation of the Local Law Enforcement Block Grants (LLEBG) Program to be administered by the Bureau of Justice Assistance (BJA), U.S. Department of Justice. The purpose of the LLEBG Program is to provide funds to units of local government to underwrite projects to reduce crime and improve public safety.

### Program Eligibility and Distribution of Funds

To be considered eligible for the LLEBG Program, a jurisdiction must be a general purpose unit of local government.<sup>1</sup> The unit of local government must report, via its law enforcement agency, to the Uniform Crime Reports (UCR) Program at the Federal Bureau of Investigation (FBI).

The LLEBG Program is a formula program based on a jurisdiction's number of UCR Part I violent crimes reported to the FBI. The formula is computed in two stages. In the first stage, State allocations are made proportionate to the State's average annual number of UCR Part I violent crimes compared to all States for the 3 most recent calendar years. Each State will receive a minimum award of 0.25 percent of the total amount available for formula distribution under the LLEBG Program. In the second stage, awards to units of local government are made proportionate to each local jurisdiction's average annual number of UCR Part I violent crimes compared to all local jurisdictions in that State for the 3 most recent calendar years. Jurisdictions reporting crime statistics above

the formula-based threshold of \$10,000 are eligible for direct awards from BJA.

The amount of State funds remaining after local allocations have been made is awarded to a State Administrative Agency (SAA) designated by the Governor. The SAA has the choice of distributing award funds to State police departments and/or to units of local government not meeting the formula-based threshold of \$10,000. Additional information about this portion of the funds is available from each State's respective SAA.

### Program Purpose Areas

LLEBG Program funds must be spent in accordance with one or more of the following seven purpose areas:

- ☐ Law enforcement support for:
  - Hiring, training, and employing on a continuous basis new, additional law enforcement officers and necessary support personnel.
  - Paying overtime to employed law enforcement officers and necessary support personnel for the purpose of increasing the number of hours worked by such personnel.
  - Procuring equipment, technology, and other materials directly related to basic law enforcement functions.
- ☐ Enhancing security measures in and around schools and other facilities or locations that the unit of local government considers to be at risk for incidents of crime.

- ☐ Establishing or supporting drug courts.
- ☐ Enhancing the adjudication of cases involving violent offenders, including cases involving violent juvenile offenders.
- ☐ Establishing a multijurisdictional task force, particularly in rural areas, composed of law enforcement officials representing units of local government. These task forces must work with Federal law enforcement officials to prevent and control crime.
- ☐ Establishing cooperative crime prevention programs between community residents and law enforcement personnel to control, detect, or investigate crime or to prosecute criminals.
- ☐ Defraying the cost of indemnification insurance for law enforcement officers.

## Program Requirements

The following requirements must be met prior to the obligation of LLEBG Program funds:

### Advisory Board

Each jurisdiction must establish or designate an advisory board to review the application. This board must be designated to make nonbinding recommendations for the proposed use of funds received under this program.<sup>2</sup> At minimum the advisory board must include a member from each of the following local organizations: law enforcement agency, prosecutor's office, court system, school system, and nonprofit group (e.g., educational, religious, or community) active in crime prevention or drug use prevention or treatment.

### Public Hearing

Each jurisdiction must hold at least one public hearing regarding the proposed use of funds. Jurisdictions should encourage public attendance and participation.

### Matching Funds

In each jurisdiction, LLEBG funds may not exceed 90 percent of total program costs. Program participation requires a cash match that will not be waived. All recipients must maintain records clearly showing the source, amount, and timing of all matching contributions.

### Trust Fund

Each jurisdiction must establish an interest-bearing trust fund in which to deposit program funds. All Federal funds (including interest and match) must be expended within the 2-year grant period. Unspent funds

must be returned to BJA within 90 days of the project's termination.

### Public Safety Officers' Health Benefits Provision

Section 615 of the FY 1998 Appropriations Act requires a unit of local government to afford a public safety officer who retires or is separated from duty due to a line-of-duty injury suffered as a direct and proximate result of responding to a hot pursuit or an emergency situation at separation with health benefits that are the same as, or better than, those benefits received while on duty at the time of injury.

A unit of local government eligible for the LLEBG Program must be in compliance with this provision to be eligible to receive the entire amount of its award. A unit of local government not in compliance with this provision will forfeit 10 percent of the eligible award amount. For additional information on this provision, see the LLEBG Public Safety Officers' Health Benefits Provision fact sheet, which is available through the BJA Clearinghouse and via the BJA home page.

### Prohibitions on Use of Funds

LLEBG funds are not to be used to purchase, lease, rent, or acquire tanks or armored vehicles, fixed-wing aircraft, limousines, real estate, yachts, or any vehicle not used primarily for law enforcement. Funds are not to be used to retain consultants. Construction of new facilities is also prohibited. In addition, Federal funds may not be used to supplant State or local funds; they must be used to increase the amount of funds that would otherwise be available from State and local sources.

### Resolution of Funding Disparities

The LLEBG Program provides resolution to potential funding disparities within jurisdictions. The State attorney general may certify that a disparity exists between or among jurisdictions. Those jurisdictions are then required by statute to develop and submit joint applications. BJA's role is limited to accepting State attorney general certifications and reviewing joint applications for compliance. If the State attorney general chooses not to become involved in the disparate allocation certification process, there is no mechanism for BJA to intervene.

The LLEBG Program employs two criteria for determining eligibility for certification. First, an associated municipality's eligible funding amount must be greater (by set percentages) than the funding amount of the county. Second, the county must bear more than 50

percent of prosecution or incarceration costs arising from Part I violent crimes reported by an associated municipality. When there are multiple associated municipalities, the county also must show that the funding allocations to those municipalities are likely to threaten the efficient administration of justice.

## **Application Process**

1. BJA distributes application kits to eligible units of local government in late May.
2. State attorney general submits disparity certifications to BJA, if applicable, in late June.
3. Jurisdiction's chief executive signs and submits a copy of the application to the Governor or designated representative at least 20 days prior to submission to BJA, as required by statute.
4. Chief executive forwards a copy of the application to BJA by late July.
5. BJA makes awards by late September.

## **Notes**

1. Units of local government are counties, towns and townships, villages, cities, parishes, Indian tribes, Alaska Native villages, and parish sheriffs (in the State of Louisiana) that carry out substantial governmental duties.
2. In Louisiana the recommendations of the advisory board are binding.

## **For Further Information**

For more information about the Local Law Enforcement Block Grants Program, please contact:

### **Bureau of Justice Assistance**

Local Law Enforcement Block Grants Division  
810 Seventh Street NW.

Washington, DC 20531

202-305-2088

World Wide Web: <http://www.ojp.usdoj.gov/BJA>

### **Bureau of Justice Assistance Clearinghouse**

P.O. Box 6000

Rockville, MD 20849-6000

1-800-688-4252

World Wide Web: <http://www.ncjrs.org>

### **U.S. Department of Justice Response Center**

1-800-421-6770 or 202-307-1480

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**FY 1998 Local Law Enforcement  
Block Grants Program  
Fact Sheet**

**BJA World Wide Web Address**

**For a copy of this document online,  
as well as more information on BJA,  
check the BJA Home Page at  
<http://www.ojp.usdoj.gov/BJA>**

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## State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program

### Single Points of Contact–Intergovernmental Review Process

Executive Order 12372 requires applicants from state and local units of government or other organizations providing service within a state to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your state.

The Catalog of Federal Domestic Assistance reference for this program is number 16.586.

A current list of State SPOCs is set forth below.\*

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#### ***Arizona***

Janice Dunn  
Arizona State Clearinghouse  
Fourteenth Floor  
3800 N. Central Avenue  
Phoenix, Arizona 85012  
Tele: (602) 280-1315  
Fax: (602) 280-1305

#### ***Arkansas***

Mr. Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and  
Administration  
Room 412  
1515 W. 7th St.  
Little Rock, Arkansas 72203  
Tele: (501) 682-1074  
Fax: (501) 682-5206

#### ***California***

Bette North  
Office of Criminal Justice Planning  
Suite 300  
1130 K Street  
Sacramento, California 95814  
Tele: (916) 324-9154  
Fax: (916) 324-9167

#### ***Delaware***

Francine Booth  
State Single Point of Contact  
Executive Department  
Thomas Collins Building  
Dover, Delaware 19903  
Tele: (302) 739-3326  
Fax: (302) 739-5661

#### ***District of Columbia***

Charles Nichols  
State Single Point of Contact  
Office of Grants Mgmt. & Dev.  
Suite 500  
717 14th Street, NW.  
Washington, DC 20005  
Tele: (202) 727-6551  
Fax: (202) 727-1617

#### ***Florida***

Suzanne Traub-Metlay  
Florida State Clearinghouse  
Intergovernmental Affairs Policy  
Unit  
Executive Office of the Governor  
Room 1603  
The Capitol  
Tallahassee, Florida 32399-0001  
Tele: (904) 488-8114  
Fax: (904) 488-9005

#### ***Georgia***

Charles H. Badger  
Administrator  
Georgia State Clearinghouse  
Room 401J  
254 Washington Street, SW.  
Atlanta, Georgia 30334  
Tele: (404) 656-3855 or  
(404) 656-3829  
Fax: (404) 656-7938

#### ***Illinois***

Steve Klockenga  
State Single Point of Contact  
Office of the Governor  
107 Stratton Building  
Springfield, Illinois 62706  
Tele: (217) 782-1671  
Fax: (217) 782-6620

#### ***Indiana***

Frances E. Williams  
State Budget Agency  
212 State House  
Indianapolis, Indiana 46204  
Tele: (317) 232-2972  
Fax: (317) 233-3323

#### ***Iowa***

Steven R. McCann  
Division for Community Assistance  
Iowa Department of Economic  
Development  
200 East Grant Avenue  
Des Moines, Iowa 50309  
Tele: (515) 242-4719  
Fax: (515) 242-4859

#### ***Kentucky***

Ronald W. Cook  
Office of the Governor  
Department of Local Government  
1024 Capitol Center Drive  
Frankfort, Kentucky 40601-8204  
Tele: (502) 573-2382  
Fax: (502) 583-2512

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\* In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The Office of Management and Budget point of contact for updating this listing is: Donna Rivelli (202) 395-5090. The states not listed no longer participate in the process. These include: Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, and Washington. This list is based on the most current information provided by the states. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the state in question. Changes to the list will only be made upon formal notification by the state. Also, this listing is published biannually in the Catalogue of Federal Assistance.

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### **Maine**

Joyce Benson  
State Planning Office  
State House Station #38  
Augusta, Maine 04333  
Tele: (207) 287-3261  
Fax: (207) 287-6489

### **Maryland**

Roland E. English III  
Chief, State Clearinghouse for  
Intergovernmental Assistance  
Maryland Office of Planning  
Room 1104  
301 W. Preston Street  
Baltimore, Maryland 21201-2365  
Tele: (410) 225-4490  
Fax: (410) 225-4480

### **Massachusetts**

Karen Arone  
State Clearinghouse  
Executive Office of Communities  
and Development  
Room 1803  
100 Cambridge Street  
Boston, Massachusetts 02202  
Tele: (617) 727-7001  
ext. 443  
Fax: (617) 727-4259

### **Michigan**

Richard S. Pastula  
Director  
Office of Federal Grants  
Michigan Department of Commerce  
P.O. Box 30225  
Lansing, Michigan 48909  
Tele: (517) 373-7356  
Fax: (517) 373-6683

### **Mississippi**

Cathy Malette  
Clearinghouse Officer  
Office of Federal Grant Management  
and Reporting  
Department of Finance and  
Administration  
301 West Pearl Street  
Jackson, Mississippi 39202  
Tele: (601) 949-2174  
Fax: (601) 949-2125

### **Missouri**

Lois Pohl  
Federal Assistance Clearinghouse  
Office of Administration  
P.O. Box 908  
Room 760, Truman Building  
Jefferson City, Missouri 65102  
Tele: (314) 751-4834  
Fax: (314) 751-7819

### **Nevada**

Department of Administration  
State Clearinghouse  
Capitol Complex  
Carson City, Nevada 89710  
Tele: (702) 687-4065  
Fax: (702) 687-3983

### **New Hampshire**

Jeffrey H. Taylor  
Director, New Hampshire Office of  
State Planning  
Attn: Intergovernmental Review  
Process  
James E. Bieber  
2 ½ Beacon Street  
Concord, New Hampshire 03301  
Tele: (603) 271-2155  
Fax: (603) 271-1728

### **New Jersey**

Gregory W. Adkins  
Director  
Division of Community Resources  
New Jersey Department of Community  
Affairs  
Please direct all correspondence and questions  
about intergovernmental  
review to:  
Andrew J. Jaskolka  
State Review Process  
Division of Community Resources  
Room 609  
CN 814  
Trenton, New Jersey 08625-0814  
Tele: (609) 292-9025  
Fax: (609) 984-0386

### **New Mexico**

George Elliott  
Deputy Director  
State Budget Division  
Room 190 Bataan Memorial Building  
Santa Fe, New Mexico 87503  
Tele: (505) 827-3640

### **New York**

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, New York 12224  
Tele: (518) 474-1605

### **North Carolina**

Chrys Baggett, Director  
N.C. State Clearinghouse  
Office of the Secretary of Admin.  
116 West Jones Street  
Raleigh, North Carolina 27603-8003  
Tele: (919) 733-7232  
Fax: (919) 733-9571

### **North Dakota**

North Dakota Single Point of Contact  
Office of Intergovernmental Assistance  
600 East Boulevard Avenue  
Bismarck, North Dakota 58505-0170  
Tele: (701) 224-2094

### **Ohio**

Larry Weaver  
State Single Point of Contact  
State Clearinghouse  
Office of Budget and Management  
34th Floor  
30 East Broad Street  
Columbus, Ohio 43266-0411  
Please direct correspondence and questions  
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## **B: Office of Juvenile Justice and Delinquency Prevention**

*Juvenile Accountability and Incentive Block Grant Program Fact Sheet*

*State Offices Administering the Juvenile Accountability and Incentive Block Grant Program*





# OJJDP FACT SHEET

Shay Bilchik, Administrator

April 1998 #76

## Juvenile Accountability Incentive Block Grants Program

by Rodney L. Albert

This Fact Sheet provides summary information regarding the Juvenile Accountability Incentive Block Grants (JAIBG) program, a new block grant program designed to promote greater accountability in the juvenile justice system. It is being administered by the Office of Juvenile Justice and Delinquency Prevention (OJJDP). Public Law 105-119, Making Appropriations for the Departments of Commerce, Justice and State, the Judiciary, and Related Agencies for the Fiscal Year Ending September 30, 1998, and for other Purposes (Appropriations Act), November 26, 1997, appropriated \$250 million for the JAIBG program described in Title III of H.R. 1, as passed by the House of Representatives on May 8, 1997. After deducting statutory set-asides for program administration (\$5.25 million); research, evaluation, and demonstration (\$7.5 million); and training and technical assistance (\$5 million), the balance available for distribution to eligible States is \$232.25 million.

### State Eligibility and Program Areas

In order to qualify for Fiscal Year (FY) 1998 funds under the JAIBG program, each Governor or other chief executive from the 56 qualifying "State" jurisdictions must certify that the State has adopted, is considering, or will consider within 1 year State laws, policies, or procedures that would (1) subject juveniles age 15 or over who are alleged to have committed a "serious violent crime" to criminal prosecution by operation of law or prosecutor direct file; (2) impose sanctions on juvenile offenders for every delinquent act, including probation violations, and escalate sanctions for each subsequent more serious offense or probation violation; (3) establish a system of juvenile delinquency records that subjects juvenile felony offenders who have a prior delinquency adjudication to having their records treated in a manner equivalent to adult records, including submission of such records to the FBI; and (4) ensure that State law does not prohibit juvenile court judges from issuing court orders requiring parental supervision of a juvenile offender and from imposing sanctions for violations of such orders.

In addition to the four areas of certification listed above, the Appropriations Act also requires that a State or unit of local government, to be eligible to receive a JAIBG grant or subgrant award, must have implemented or must agree to implement by January 1, 1999, a policy of testing appropriate categories of juveniles within the juvenile justice system for use of controlled substances.

Of the funds available for awards to States in FY 1998, individual allocations, based on population under age 18, range from \$1.2 million to \$22.5 million per State. Funds are available for 12 juvenile justice system related program purpose areas:

- ◆ Construction of juvenile detention or correctional facilities, including training of personnel.
- ◆ Accountability based sanctions programs
- ◆ Hiring of judges, probation officers, and defenders and funding of pretrial services.
- ◆ Hiring of prosecutors
- ◆ Funding of prosecutor-led drug, gang, and violence programs
- ◆ Provision of technology, equipment, and training programs for prosecutors
- ◆ Probation programs.
- ◆ Gun courts.
- ◆ Drug courts.
- ◆ Information sharing systems.
- ◆ Accountability based programs for law enforcement referrals or those that are designed to protect students and school personnel from drug, gang, and youth violence.
- ◆ Controlled substance testing (including interventions) for juveniles in the juvenile justice system

The Appropriations Act prescribes the percentages of funds that are required to be expended within specified program purpose areas—unless the State or subgrantee unit of local government certifies and documents that the interests of public safety or crime control require a different use.

### Distribution to Units of Local Government

Absent a waiver, each State must distribute not less than 75 percent of its allocation among units of local government in the State. In making such distribution, the State will allocate funds among units of local government using a formula that combines law enforcement expenditures for each unit of local government and the average annual number of Uniform Crime Report Part I violent crime arrests reported by each unit of local government, each for the three most recent calendar years for which data are available. Two-thirds of each unit of local government allocation is based on the law enforcement expenditure data and one-third on the reported violent crime arrest data, in a ratio based on the aggregate data for all units of general local government in the State. A unit of local government must qualify for a minimum of \$5,000 in order to be eligible to receive an award. The State will retain funds allocated to nonqualified units in order to provide services for their benefit or use. The State or local government recipient of a JAIBG award must contribute, in the form of a cash match, at least 10 percent of the total program cost. If JAIBG funds are used to construct a permanent juvenile corrections facility, the cash match must be at least 50 percent of total program costs. JAIBG program funds cannot be used to supplant State or local funds.

### Juvenile Crime Enforcement Coalitions

States and units of local government eligible to receive JAIBG funds must establish a Coordinated Enforcement Plan (CEP) for reducing juvenile crime developed by a Juvenile Crime Enforcement Coalition (JCRC).

State CEP's must be developed by a JCRC consisting of law enforcement and social service agencies involved in juvenile

crime prevention. To assist in developing the State's CEP, States may choose to utilize members of the State Advisory Group established by the State's chief executive under the OJJDP Formula Grants program, if appropriate membership exists, or another planning group that constitutes a coalition of law enforcement and social service agencies.

When establishing a local JCRC to establish a CEP, units of local government must include, unless impracticable, individuals representing (1) police, (2) sheriff, (3) prosecutor, (4) State or local probation services, (5) juvenile court, (6) schools, (7) business, and (8) religious, fraternal, nonprofit, or social service organizations involved in crime prevention. The eight groups listed for a JCRC do not constitute an exhaustive list. Units of local government may add additional representation as appropriate. Units of local government may utilize members of Prevention Policy Boards established under OJJDP's Title V Community Prevention Grants program to meet the JCRC requirement, provided that each such coalition meets the minimum membership requirements.

### For Further Information

OJJDP has developed the *Juvenile Accountability Incentive Block Grants Program Guidance Manual* to assist States and units of local government in applying for, receiving, obligating, and expending JAIBG funds. An accompanying regulation will establish the procedure for States and units of local government to provide notice to OJJDP of proposed uses of funds. The *Guidance Manual* can be downloaded from OJJDP's home page, [www.ojjdp.org/ojjhome.htm](http://www.ojjdp.org/ojjhome.htm). Printed copies of the *Guidance Manual* are available from the Juvenile Justice Clearinghouse, 800-638-8736. Questions regarding the JAIBG program can be directed to OJJDP's State Relations and Assistance Division, 202-307-5924.

Rodney L. Albert is the Assistant Director of OJJDP's State Relations and Assistance Division.

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**C: Center for Substance Abuse Treatment (CSAT)**

**Substance Abuse and Prevention and Treatment Block Grant Program**

**State Offices Administering the Center for Substance Abuse Treatment Block Grant Program**

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**Center for Substance Abuse Treatment (CSAT),  
Substance Abuse and Mental Health Services Administration (SAMHSA),  
U.S. Department of Health and Human Services (HHS)**

The Center for Substance Abuse Treatment (CSAT) of the Substance Abuse and Mental Health Services Administration (SAMHSA), Public Health Service, was created in October 1992 with the Congressional mandate to expand the availability of effective treatment and recovery services for alcohol and drug problems. CSAT works cooperatively across the private and public treatment spectrum to identify, develop, and support policies, approaches, and programs that enhance and expand treatment services for individuals who abuse alcohol and other drugs and that address individuals' addiction-related problems. The CSAT National Advisory Council, in accordance with statutory mandates, provides advice, consultation, and recommendations to the CSAT Director and the Secretary of DHHS on programmatic and policy matters relating to activities of the Center.

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The Center for Substance Abuse Treatment (CSAT), Division of State and Community Assistance (DSCA), developed a State Systems Development Program (SSDP) to enhance Federal and State accountability for the Substance Abuse Prevention and Treatment (SAPT) Block Grant. The SSDP encompasses:

- A. Development of a standard application to report Statewide substance abuse prevention activities and treatment services delivery plans;
- B. The conduct of State prevention and treatment needs assessments;
- C. The conduct of on-site State Alcohol and Other Drug (AOD) Systems Technical Reviews;
- D. The provision of targeted technical assistance (TA) to States; and
- E. The creation of a national database of current prevention activities and treatment services delivery information.

The SSDP is a comprehensive, systematic approach to administering the SAPT Block Grant which enables the Federal government:

- 1. To make a determination regarding a State's compliance to the statutory (See 42 U.S.C. 300x-21 et seq) and regulatory (See 45 C.F.R. Part 96) requirements regarding the use of block grant funds;
- 2. To monitor State expenditures of block grant funds at the provider level;
- 3. To assist States in matching AOD prevention and treatment needs to existing service delivery capacity; and

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4. Strengthen State management of the AOD prevention and treatment infrastructure. The SSDP provides a structure for the Federal government to guide and monitor substance abuse prevention activities and treatment services supported by the SAPT Block Grant on a State, regional, and national scale while providing States with the flexibility to plan, carry out, and evaluate (See 42 U.S.C. 300x-21) State-specific solutions to local AOD prevention and treatment needs.

### ***Standard Application***

The Center for Substance Abuse Treatment and its State partners developed and implemented the standard application for SAPT block grant funds. Prior to the introduction of the standard application, States annually submitted two separate documents: an annual report and a State plan. The format and content of the standard application incorporates some elements of the previous documents; however, the standard application provides a template for States to display both aggregate and entity expenditure data and also provides a description of a State's planning and needs assessment activities. CSAT's partners were encouraged, but not required, to electronically submit the uniform application using software, Block Grant Application System (BGAS), developed expressly for the States. 51 of the States voluntarily use BGAS to annually submit their standard application. The aggregate data is stored in a database which can be used to provide analyses of State, regional, and national trends with regard to how Federal block grant funds are allocated and expended, and the activities and services provided to reduce the impact of alcohol and other drug abuse and dependence across the nation.

For further information about this block grant and other programs funded by CSAT visit its home page at [www.samhsa.gov/csat](http://www.samhsa.gov/csat).

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## **D: Native American/Alaskan Native Grantees**

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## **Alabama**

1. Poarch Band of Creek Indians Atmore - 97 Planning, 98 Implementation, Mentor Court \*

## **Alaska**

1. Chevak Traditional Council, Chevak - 97 Implementation
2. Organized Village of Kwethluk - 97 Implementation
3. Native Village of Napaskiak - 99 Planning

## **Arizona**

1. Salt River Pima-Maricopa Indian Community, Scottsdale - 95 Planning, 99 Implementation
2. Hualapai Tribe, Peach Springs - 97 Planning, 99 Implementation \*
3. Gila River Indian Community, Sacaton - 97 Planning
4. Pascua Yaqui Tribe, Tucson - 97 Implementation, 99 Continuation \*
5. Yavapai-Apache Nation, Camp Verde - 98 Planning
6. Navajo Nation, Window Rock, 98 Implementation
7. Havasupai Tribe, Supai - 99 Planning

## **Idaho**

1. Shoshone-Bannock Tribes, Fort Hall - 97 Implementation \*

## **Maine**

1. Passamaquoddy Tribe-Indian Township, Princeton - 97 Implementation
2. Penobscot Nation, Old Town - 98 Planning

## **Michigan**

1. Sault Saint Marie, Sault Saint Marie - 98 Planning

## **Montana**

1. Blackfeet Tribe, Browning - 97 Planning, 98 Implementation, Mentor Court \*
2. Fort Belknap Community Council, Harlem - 97 Implementation \*
3. Fort Peck Assiniboine & Sioux Tribes, Poplar - 97 Implementation, 99 Continuation, Mentor Court \*
4. Northern Cheyenne Tribe, Cheyenne - 98 Planning

## **Nebraska**

1. Omaha Tribe of Nebraska, Marcy - 98 Planning

## **Nevada**

1. Duckwater Shoshone Tribe, Duckwater - 99 Planning
2. Pyramid Lake Paiute Tribe, Nixon - 99 Planning

## **New Mexico**

1. Pueblo of Taos, Taos - 98 Implementation
2. Mescalero-Apache Tribe, Mescalero - 98 Planning
3. San Juan Pueblo Tribe, San Juan - 98 Planning

## **North Carolina**

1. Eastern Band of Cherokee, Cherokee - 97 Planning, 98 Implementation \*

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## **North Dakota**

1. Turtle Mountain Band of the Chippewa, Belcourt - 97 Planning, 98 Planning, 98 Implementation \*
2. Spirit Lake Sioux Tribe, Spirit Lake - 98 Planning

## **Oklahoma**

1. Muscogee (Creek) Nation, Okmulgee - 95 Planning, 98 Implementation
2. Iowa Tribe of Oklahoma, Perkins - 98 Planning
3. Citizen Band Potawatomi Tribe, Shawnee - 99 Planning

## **Oregon**

1. Confederated Tribes of the Umatilla Indian Reservation, Pendelton - 97 Planning

## **South Dakota**

1. Flandreau Santee Sioux Tribe, Flandreau - 97 Planning, 99 Implementation
2. Lower Brule Sioux Tribe, Lower Brule - 97 Planning
3. Oglala Sioux Tribal Public Safety, Pine Ridge - 97 Planning
4. Sisseton Wahpeton Sioux Tribal Court, Agency Village - 97 Implementation \*
5. Yankton Sioux Tribal Court, Wagner - 97 Implementation
6. Rosebud Sioux Tribe, Rosebud - 98 Planning

## **Texas**

1. Ysleta Del Sure Pueblo, El Paso - 99 Planning

## **Washington**

1. Makah Tribal Council, Neah Bay - 97 Planning, 98 Implementation \*
2. Spokane Tribe of Washington, Spokane - 99 Implementation \*
3. Yakama Nation, Toppenish - 99 Planning

## **Wisconsin**

1. Stockbridge-Munsee Tribe, Bowler - 98 Planning
2. Menominee Indian Tribe of Wisconsin, Keshena - 98 Planning

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## Recommended Reading

The following documents are the latest U.S. Department of Justice publications on drug courts and are available from the National Criminal Justice Reference Service at 1-800-851-3420.

**American University Drug Court Clearinghouse and Technical Assistance Project  
Justice Programs Office**

*Summary Assessment of the Drug Court Experience*, May 1996  
*1997 Drug Court Survey Report: Executive Summary*, October 1997

**Drug Courts Program Office, Office of Justice Programs,  
U.S. Department of Justice**

*Defining Drug Courts: The Key Components*, January, 1997

*Drug Court Monitoring, Evaluation, and Management Information Systems*, June 1998, NCJ171138

*Guideline for Drug Courts on Screening and Assessment*, June 1998, CJ171143

*Juvenile and Family Drug Courts: An Overview*, June 1998, NCJ171139

*Decade of Drug Courts*, June 1998, NCJ171140

*Juvenile and Family Drug Courts: Profile of Program Characteristics and  
Implementation Issues*, June 1998, NCJ171142

*Drug Courts Program Office - Fact Sheet*, June 1998, FS4000099

*Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*,  
June 1999, NCJ176977

*Healing To Wellness Courts: A Preliminary Overview of Tribal Drug Courts*  
July 1999, NCJ178907

**Bureau of Justice Assistance, U.S. Department of Justice, Publications**  
*Special Drug Courts*, Program Brief, NCJ 144531

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**Office of Juvenile Justice and Delinquency Prevention, U.S. Department of Justice, Publications**  
*American Probation and Parole Association's Drug Testing Guidelines and Practices for Juvenile Probation and Parole Agencies.*, 1992, NCJ 136450.

*Capacity Building for Juvenile Substance Abuse Treatment.* 1997, NCJ 167251.

*Drug Identification and Testing in the Juvenile Justice System.* 1998, NCJ 167889.

*Conflict Resolution Education: A Guide to Implementing Programs in Schools, Youth-Serving Organizations, and Community and Juvenile Justice Settings.* 1996, NCJ 160935.

*Preventing Drug Abuse Among Youth: An Overview of Community, Family, and School-Based Programs.* 1997. NCJ 165583.

*Focus on Accountability: Best Practices for Juvenile Court and Probation.* 1999. NCJ 177611.

**National Institute of Justice, U.S. Department of Justice, Publications**

John S. Goldkamp and Doris Weiland, *Assessing the Impact of Dade County's Felony Drug Court*, NCJ 145302

*The Drug Court Movement*, Update, September 1995

Peter Finn and Andrea K. Newlyn, *Miami's Drug Court, A Different Approach*, NCJ 142412

John S. Goldkamp, *Issues and Practices, Justice and Treatment Innovation: The Drug Court Movement, A Working Paper of the First National Drug Court Conference*, December 1993, NCJ 149260

**The following publication is available from the National Association of Drug Court Professionals at 1-888-316-2327**

*NADCP Tribal Mentor Courts: A Regional Approach*,  
May 1999

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## Addresses on the World Wide Web

■National Criminal Justice Reference Center:

[www.pavnet.org](http://www.pavnet.org)

■Office of National Drug Control Policy

[www.whitehouse.gov/WH/EOP/ondcp/html/ondcp.html](http://www.whitehouse.gov/WH/EOP/ondcp/html/ondcp.html)

■U.S. Department of Education:

[www.ed.gov](http://www.ed.gov)

■U.S. Department of Health and Human Services:

[www.os.dhhs.gov](http://www.os.dhhs.gov)

■U.S. Department of Housing and Urban Development:

[www.hud.gov](http://www.hud.gov)

■U.S. Department of Labor:

[www.dol.gov](http://www.dol.gov)

■Drug Information and Strategy Clearinghouse:

[gopher://ric.aspensys.com:76](mailto:gopher://ric.aspensys.com:76)

■Drug Free Workplace Helpline:

[helpline@samhsa.gov](mailto:helpline@samhsa.gov)

■National AIDS Clearinghouse:

<http://www.cdcnac.org>

■National Clearinghouse for Alcohol and Drug Abuse Information:

[www.health.org](http://www.health.org)

■ Tribal Law and Policy Institute:

[www.tribal-institute.org](http://www.tribal-institute.org)

■Drug Court Clearinghouse / Justice Programs Office, American University

[www.american.edu/justice](http://www.american.edu/justice)



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